

YAVAPAI COUNTY ADULT PROBATION

Operational Review Final Report



Prepared by:

*Arizona Supreme Court
Adult Probation Services Division
1501 W. Washington Street, Suite 344
Phoenix, Arizona 85007-3231
www.azcourts.gov*

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Table of Contents

2016 Yavapai County Operational Review Summary of Findings.....	3
ACKNOWLEDGEMENTS.....	13
INTRODUCTION	13
ACCOMPLISHMENTS	14
ADMINISTRATION AND MANAGEMENT	16
Policy and Procedure Manual.....	16
Employment Qualification Review	18
Officer Certification/COJET/Training Requirements	20
Continuing Employment Requirements.....	21
Minimum Accounting Standards (MAS)	24
Financial and Statistical Reports.....	25
Pre-sentence Report (PSR).....	25
Fleet Management.....	26
COMMUNITY PROTECTION.....	26
Standard Probation Supervision (SPS) Contacts.....	27
Intensive Probation Supervision (IPS) Contacts.....	30
Sex Offender Cases Contacts	32
Absconder/Warrant Cases	33
Sex Offender Cases	35
Global Positioning System (GPS)	38
Minimum Assessed Risk Supervision.....	39
Signed Review/Acknowledgement of Terms and Conditions Form	41
DNA Collection.....	41
SPS DNA Collection	42
IPS DNA Collection.....	42
VICTIMS' RIGHTS	43
SPS Victim Contacts	43
IPS Victim Contacts.....	44
OFFENDER ACCOUNTABILITY.....	45
SPS Financials	45
IPS Financials.....	47
IPS Collection of Probationer Wages	48

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Performance Measures Comparison	49
SPS Community Restitution (CR) Hours.....	50
IPS Community Restitution (CR) Hours	51
CASE MANAGEMENT	53
SPS Cases	53
SPS Residence and Employment Verification	53
SPS OST/FROST Timeline Compliance	54
SPS Assessment Score Matching Supervision Level	55
SPS Case Plan Timeline Compliance.....	57
SPS Highest Criminogenic Need Areas Addressed on Case Plan	58
SPS Case Plan Signatures	59
IPS Cases.....	60
Photo in File	60
Verification of Employment	60
Verification of Job Search/Community Restitution Six Days Per Week	61
Verification of Residence	61
Verification of Weekly Schedules	61
IPS OST/FROST and Case Plan Timeline Compliance.....	63
IPS Case Plan Signatures.....	64
IPS Highest Criminogenic Need Areas Addressed on Case Plan.....	65
Incoming Interstate Cases	66
Outgoing Interstate Cases	68
Closed Cases	69
SPS Treatment Referrals.....	71
IPS Treatment Referrals	72
Transferred Youth Cases	73
SPS Drug Testing	74
IPS Drug Testing.....	75
Drug Treatment and Education Fund (DTEF)	76
Closing.....	77

2016 Yavapai County Operational Review Summary of Findings

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
Administration and Management pages 16-26				
<u>Policy and Procedure Manual:</u> The department's manual needs revisions to policies and some policies need to be created, implemented and forwarded for review as indicated in the Policy and Procedure section.	The department reported the following: "The department will investigate the policies in question as outlined on pages 17-19 and report modifications back to the AOC within the next 10 months. All future policy revisions will be written to direct attention to applicable codes rather than repeating code language. This will help allow our policies to remain up to date with code changes. Upon notification of Law and Code changes the Policy Coordinator will review our policy to attempt to make appropriate necessary changes."	16-17	Please revise and/or create the policies noted in the policy procedure section of the report. Although it is not required, it is recommended the policies include a requirement to enter data into the applicable screens in APETS so that APETS can be used as a data collecting resource and quality assurance tool.	December 16, 2016
Community Protection pages 26-41				
<u>SPS Offender Contacts:</u> The department needs to improve contacts for maximum supervision caseloads 40 percent average compliance.	The department reported the following as there Quality Assistance Process and will be referred to as their Comprehensive QA process in the remainder of this report: "The department has in place a fairly comprehensive Quality Assistance (QA) program, which evaluates a wide variety of caseload types. As a result of this Op review, the department will engage in modifying the existing QA program to further enhance our compliance in various areas. Please refer to the attached QA revision plan. We intend to have QA revised within the next	27-29	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, SPS contact is an area of concern that needs to be addressed within the next 90 days. The department needs to describe the administrative oversight to ensure that officers are complying with the statutory and code requirements for SPS maximum level probationers and to ensure contact/case notes are entered into APETS within 72 hours. This could be accomplished during supervisory caseload reviews and/or unit meetings/trainings. The department should	December 16, 2016

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
	<p>1.5 years, with priority given to law and code compliance.</p> <p>Within the next 1.5 years, the department will re-vamp its QA process in the following manner:</p> <ol style="list-style-type: none"> 1. Add questions to existing forms to ensure compliance areas are checked. 2. Improve Officer feedback by providing summary QA reports to officers and supervisors 3. Modify frequency of certain types of QA assessments 4. Research the possibility of creating a scoring system for QA 5. Provide training to all applicable staff on QA elements and requirements, including refresher training schedule. <p>Areas the department will seek to improve compliance through QA are:</p> <ul style="list-style-type: none"> • Maximum SPS contacts • Sex offender requirements • Minimum caseload supervision • APETS data entry • Collections • Required Community Restitution 		develop a quality assurance tool and conduct quarterly audits to ensure compliance and develop a process to address and remedy delinquencies.	

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
	<ul style="list-style-type: none"> • Case plan timeliness and integrity • IPS requirements • Indirect services requirements” 			
<u>IPS Offender and Employer Contacts:</u> The department needs to improve with probationer and employer contacts.	The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	30-32	Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, IPS contact is an area of concern that needs to be addressed within the next 90 days. The department needs to describe the administrative oversight to ensure that officers are complying with the statutory and code requirements for IPS. This could be accomplished during supervisory caseload reviews and/or unit meetings/trainings. The department should develop a quality assurance tool and conduct quarterly audits to ensure compliance and develop a process to address and remedy delinquencies.	
<u>Absconder/Warrant Cases:</u> Improvement is needed in all areas reviewed.	The department indicated the following: “The department’s warrant/absconder specialist will meet with Supervisors and in unit meetings to further train staff on requirements of warrants within the next year. The Absconder checklist will be revised and forwarded by December 2016. The absconder checklist will be utilized by the warrant/absconder specialist to ensure compliance.”	33-35	Forward a copy of the revised checklist and ensure it includes the following: The Criminal Restitution Order be filed within 90 days of the warrant being issued <i>not</i> after the warrant is filed, include space to document whether or not the opted-in victim was notified of warrant, add space to document that a criminal history check was completed after the warrant was filed and annual criminal history checks are completed.	December 16, 2016
<u>Sex Offender Cases:</u> The department does a good job in one area and needs to improve in the	The department has instituted a Comprehensive QA process noted in the report that addresses a	35-38	Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, Sex offender compliance issues	December 16, 2016

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
remaining sex offender specific requirements.	process over the next 1.5 years with priority given to law and code compliance.		noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	
MARS: The department does a great job in four areas but needs to improve in the remaining areas of the minimum assessed risk supervision cases.	The department has reported the following: "The department policy is being modified and should be approved by December of 2016. Compliance with requirement will be ensured through QA." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	39	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, MARS compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
SPS and IPS DNA Collection: The department needs to improve efforts in collecting DNA within the required time frame and modify their department policy to reflect their practice or change their practice to reflect their policy.	The department reported the following: "The policy regarding DNA collection has been modified and approved. See attached. Compliance will be assured in the QA process." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	42	The modified DNA policy includes all of the DNA requirements. Although the department's systemic approach to their QA process over the next 1.5 years is commendable, DNA compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
Victims' Rights pages 42-43				
Victim Contacts: SPS Compliance: The department needs to improve efforts in notifying victims during pre-sentence.	The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	42-43	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, Victim Notification compliance issues noted in <i>Required action in the Draft Report</i> are an area of concern that need to be addressed within the next 90 days.	December 16, 2016
Offender Accountability pages 45-52				
SPS Financials: The department needs to improve efforts in addressing financial	The department reported the following: "The policy will be revised to reflect code by December of 2016. Please refer to attachment: QA revision plan." The department has	45	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, financial delinquencies and timely notification to victims and the court	December 16, 2016

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
delinquencies, improve court and victim notification.	instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.		compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	
<u>IPS Financials:</u> The department needs to improve efforts in addressing financial delinquencies.	The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	47	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, financial delinquencies noted in <i>Required action in the Draft Report</i> is an area of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>IPS Collection of Probationer Wages:</u> Improvement is needed in collecting probationer wages.	The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	48	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the absence of the collection of wages in some cases as noted in <i>Required action in the Draft Report</i> is an area of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>SPS Community Restitution Hours:</u> Delinquent community restitution hours are not always addressed by the officer and it is not clear how many hours per month are required for some probationers.	The department reported the following: "Policy will be revised by December of 2016 to clarify. Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	50	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, community restitution compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>IPS Community Restitution:</u> Delinquent community restitution hours are not addressed by the officer and probationers are not completing the required number of hours per month (57 percent average compliance).	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	51	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, community restitution compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
Case Management pages 53-76				
<u>SPS Residence & Employment Verification:</u> Residence verification was completed 47 percent of the time, employment verification was completed 32 percent of the time and improvement is needed.	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	53	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the residence and the employment verification compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>SPS FROST Timeline Compliance:</u> The department needs to improve in the area of timely reassessments (average compliance is 47 percent for the FROST reassessment).	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	54	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the FROST timeline compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>SPS Supervision Level Matches Assessment Scores:</u> The department needs to improve in the area of maximum level (33 percent).	The department reported the following: "The department will continue to request modification to APETS to allow automatic entry of supervision level based on assessment scores. Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	55	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the assessment level matching supervision level compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>SPS Case Plan Timeline:</u> The department needs to improve in the timely completion of case plans as well as having measurable strategies for the probationer/probation officer.	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	57	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the case plan timeline compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>SPS Highest Criminogenic Need Areas Addressed on Case Plan:</u>	The department reported the following: "Please refer to attachment: QA revision plan." The	58	Although the department's systemic approach to their QA process over the next 1.5 years is	December 16, 2016

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
The department needs to improve at addressing the probationer's primary needs in the case plan (78 percent compliant).	department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.		commendable, the highest criminogenic need areas addressed in the case plan compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	
<u>IPS Employment Verification and Job Search/Community Restitution Six Days Per Week:</u> The department does an excellent job regarding photos in case files (92 percent). Improvement could be made verifying residence and employment, collecting probationer schedules and ensuring unemployed offenders are searching for employment and performing community restitution hours six days per week.	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	60	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the IPS requirements noted above and in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>IPS OST/FROST and Case Plan Timeline Compliance:</u> The department needs to improve in the following: FROST – 61 percent, Initial Case Plan – 69 percent, Follow-up Case Plans – 44 percent.	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	63	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the OST/FROST and case plan timeline compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days	December 16, 2016
<u>IPS Highest Criminogenic Need Areas Addressed on Case Plan:</u> The department needs to improve their efforts of addressing the highest criminogenic need on case plans (Compliance - 79 percent).	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	64	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the highest criminogenic need areas addressed in the case plan compliance issues noted in <i>Required action in the Draft</i>	December 16, 2016

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
			<i>Report</i> are areas of concern that need to be addressed within the next 90 days.	
<u>Incoming Interstate Compact Cases:</u> The department needs to improve in completing the initial case plan within 60/30 days, completing annual progress reports, completing the interstate tracking screen in APETS, submitting/verifying DNA on time, ensuring VCAF collections are current and ensuring VCAF are on AZ terms.	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	65	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the incoming interstate compact compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>Outgoing Interstate Compact Cases:</u> The department needs to improve in notifying opted-in victims of probation status (0 percent compliant).	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	68	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the outgoing interstate compact compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>Closed Cases:</u> The department needs to improve in warrants checks before full terminations, early terminations, and earned time credit discharges, ensure DNA is collected, court ordered treatment is completed, opted-in victims are notified of closure, and community restitution is completed as ordered and that the Court issues a Criminal Restitution Order (CRO) for applicable cases.	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	69	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the closed cases compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
<u>SPS Treatment Referrals:</u> The department needs to improve in referring applicable probationers for treatment within 60 days (86 percent compliant).	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	71	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the SPS treatment referral compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>IPS Treatment Referrals:</u> The department needs to improve in providing treatment referrals to probationers within 60 days (58 percent).	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	72	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the IPS treatment referral compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>Transferred Youth Cases:</u> The department did a good job in two of the seven areas regarding transferred youth cases.	The department reported the following: "By December 2016 a checklist will be created to ensure compliance. Department QA process will ensure compliance along with the checklist." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	73	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the transferred youth compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days. Forward a copy of the checklist and describe how the checklist will be utilized in the QA process to ensure continued compliance.	December 16, 2016
<u>SPS Drug Testing:</u> The department does an excellent job in drug testing probationers as described in case plans but needs to improve in using drug testing as a strategy and describing drug testing frequency in case plans for	The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	74	Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the SPS drug testing compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Original Findings	Response By Department as of July 26, 2016	Page #(s)	Required Department Action	Date for Completion
applicable probationers (64 percent).				
<u>IPS Drug Testing:</u> The department does an excellent job in drug testing probationers as described in case plans but needs to improve in using drug testing as a strategy and describing drug testing frequency in case plans for applicable probationers (57 percent).	The department reported the following: “Please refer to attachment: QA revision plan.” The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	75	Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, the IPS drug testing compliance issues noted in <i>Required action in the Draft Report</i> are areas of concern that need to be addressed within the next 90 days.	December 16, 2016
<u>Drug Treatment and Education Fund (DTEF):</u> The department does an excellent job of using the client services screen in APETS and having an Evaluation completed. The department needs improvement in screening probationers for AHCCCS.	The department reported the following: “The proper process is now in place. Please refer to attachment: QA revision plan.” The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.	76	Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, describe the department’s quality assurance process to ensure DTEF requirements are met within the next 90 days.	December 16, 2016

ACKNOWLEDGEMENTS

The Adult Probation Services Division (APSD) of the Administrative Office of the Courts (AOC) appreciated the hospitality, collaboration, and patience of the Yavapai County Adult Probation staff during the operational review process.

The department submitted a thorough and complete Self-Assessment Questionnaire (SAQ), responded to all questions/requests for additional information, was open and responsive throughout the process and reviewed sections of this report as they were completed.

INTRODUCTION

Arizona's adult probation system is decentralized, with each of the 15 local probation departments reporting directly to the presiding judge of the superior court or court administrator in their respective county. In accordance with the administrative and supervisory authority established under Article VI, Section 3 of the Arizona Constitution and in cooperation with the local probation departments, the AOC has developed and implemented a comprehensive operational review process.

The APSD's operational review team conducts reviews in accordance with the Arizona Judicial Department's *Advancing Justice Together: Courts and Communities* strategic agenda. Operational reviews assess and document adult probation departments' operational and program performance to assist in building effective community supervision practices. The objective of the review team is to ensure accountability and compliance with Arizona Revised Statutes (A.R.S.), the Arizona Code of Judicial Administration (ACJA), Administrative Orders (AO), Administrative Directives (AD), Arizona Rules of Court, approved program plans, funding agreements, and local policies and procedures. The review is designed to identify areas of non-compliance and make recommendations for corrective action, while promoting an atmosphere of collaboration and facilitation of technical assistance. To this end, the review team inspects the department's policy manual and response to the SAQ, reviews case files, program files and all correspondence and reports submitted to the APSD. The review team also conducts interviews with appropriate staff working with Minimum Accounting Standards (MAS) and Firearms/Ammunition and Defensive Tactics.

The on-site portion of the Yavapai County Adult Probation Department (YAPD) operational review was conducted March 28, 2016, through April 1, 2016. Pre-review work began in December 2015. The review team consisted of Dori Ege, DeAnna Faltz, Chris Jahnke, Steve Lessard and Carol Banegas-Stankus. After the final report is published, the review team and AOC staff will work collaboratively with the department to develop a corrective action plan to assist the department in resolving all issues identified in this report.

ACCOMPLISHMENTS

The Yavapai County Probation Department reported “Year 2015” Accomplishments:

- Continued Effective Practices In Correctional Settings II (EPICS II) coaching with two IPS officers as lead trainers who are training other officer’s department-wide as this EBP program progresses. This program promises to bolster probationer engagement and lower recidivism.
- Effects of EPICS II have begun to have a positive impact on our clientele and are helpful to the officers utilizing the skills.
- Increased communication with the bench has led to fewer mixed sentencing options i.e. IPS or Drug Court. Cases are being filtered through proper assessment to set up appropriate supervision.
- Increased numbers have led to our department asking for, and receiving, another IPS officer.
- Implementation of Project SAFE was expanded to increase timely responses to violations with the goal of increasing non-violating behavior.
- SWAP is a new tool for young offenders, that is utilized to encourage them to obtain full time employment and until that time they are to participate on the work crew five days per week.
- We switched to a new and improved TASC portal system that gives officers more tools to detect drug use and non-compliance. It also eliminated some short comings and possible methods of being able to circumvent the old drug testing system.
- Remodeled offices and gave officers more efficient workspace, which seems to have promoted a more positive work atmosphere.
- The MRT program has been operating in Yavapai County since 2007. Currently, we have eight groups countywide, three of which are specialty groups: two for sex offenders and one for therapeutic courts.
- Continued with the Mental Health Court program. Progress review hearings are being held in Prescott and Camp Verde.
- Continued collaboration with law enforcement, including presentations to the Northern Arizona Regional Training Academy.
- Continued with BITS (Brief Intervention Tools). We currently have 20 officers that have been trained on BITS. This is an evidence based cognitive tool designed for offenders to look at their behaviors and how they might change them in the future.
- Provided Therapeutic Court incentives for phase advances, graduation and our gold star program. These incentives include Walmart, Starbucks, and Subway gift cards along with movie tickets.
- Assisted sex offenders with the cost of enrolling in and participating in treatment and treatment-related assessments which has included initial evaluations, ongoing treatment, as well as 20 ABEL and/or polygraph exams. (ongoing but don’t know the total number of ABELs or polygraphs)
- Officers from the sex offender unit meet with West Winds Counseling on a regular basis where cases are staffed and problems are discussed. Officers also occasionally attend group sessions during sex offender treatment. (on going)
- Officers continue to collaborate with the Yavapai County Sheriff’s Office in order to exchange information regarding sex offenders to ensure registration requirements are met. A sex offender compliance group has been created by YCSO, probation, parole and local law enforcement that meets every other month.
- An interagency group, (the Sex Offender Compliance Managers collaboration meeting) was established and held its inaugural gathering to assemble multiple Yavapai County law enforcement

Yavapai County Adult Probation Department
Operational Review Final Report - September 2016

agencies together to develop more local collaboration regarding supervision of sex offenders and reduce replication of tasks.

- Yavapai Behavioral Counseling has created an Intensive Outpatient program in order to provide better services to probation clients who do not qualify for AHCCCS or SAPT Funding. They have also added equine therapy as part of their program.
- ISC/IDS Unit staff continues to meet with stakeholders to improve collaboration and understanding.
- All deadlines for ICOTS are being met and/or surpassed by all officers.
- The Affordable Care Act has allowed us to use DTEF funds to assist more 1st and 2nd time offenders who fall above the poverty level but still have limited income to cover treatment.
- Efforts are being made to coordinate quick and effective screenings between the jail and our residential treatment providers.
- All probationers are screened for Title 19 eligibility prior to the expenditure of any DTEF funds. Use of standardized assessment tools on all probationers being referred for treatment through DTEF to ensure appropriate treatment dosages.
- Effective treatment referral process that directs probationers to treatment agencies and AHCCCS immediately after sentencing, effectively streamlining the process, saving valuable time and giving probationers access to medical coverage and treatment promptly.
- Probationers referred to Intensive Outpatient treatment, Standard Outpatient, Substance Abuse Education and Relapse Prevention.
- Provided financial assistance for probationers' placement into treatment with contracted providers who support: Evidence Based treatment programs which may include but are not limited to, The Matrix, Cognitive Therapy approaches and curriculum provided by the National Curriculum Training Institute.
- The DUI and Drug Courts on both sides of the mountain in our county are operating with uniformity. Contracts are signed by each participant outlining what is expected of them during each phase, which makes it easier for them to follow the guidelines of the program. A new petition that allows us to get a participant into custody promptly was created if the intermediate sanction is a jail term.
- We assisted probationers with recovery home/sober living environment placements. This service is vital in allowing the participants to reside in an environment that has structure and safety so they can practice the skills they are acquiring in treatment and sober support meetings.
- Drug and DUI Court Graduations are now held in the community. This allows the community, family and friends to have more knowledge about Drug/DUI Courts and their success, as well as give participants a greater sense of accomplishment.
- The Drug Court Coordinator is screening most potential participants while in custody which allows the Drug Court Team to create a better treatment plan for the participant upon their release.
- Drug Court Coordinator is able to place potential MRT participants into MRT classes at the team's request.
- We have trained two additional officers within our office to bring the total up to five for the purposes of back up coverage for GPS.
- Developed an improved working relationship with GPS case officers in northern Arizona region to address equipment problems and alerts in a timely manner.
- GPS provided training on Total Access to 19 officers from other counties within the region. This has improved communication between the departments.
- GPS equipment orders are being processed by BI in a timely manner again.
- GPS had a meeting with AOC, the other regional monitors and BI to discuss GPS problems and ways to efficiently monitor clients."

ADMINISTRATION AND MANAGEMENT

Each probation department fulfills a variety of general administrative and management functions which directly affect the department's performance and effectiveness in its supervision of probationers. Many of these functions are accomplished in accordance with Statutes, the ACJA, AOs, ADs, funding agreements, and local policies and procedures. The review team assessed the department's compliance with administrative and management functions in the following areas: departmental policies and procedures, officer certification, education and training requirements for department staff, general reporting obligations, fixed assets, MAS, supervisory case file review, and pre-sentence investigation (PSI) reporting.

Policy and Procedure Manual

The department's manual needs revisions to policies and some policies need to be created, implemented and forwarded for review as indicated below.

The AOC reviewed policies from the department's policy and procedure manual, including policies that have been revised since 2013. Ten of those policies need revisions as described below. Additionally, numerous policies were not submitted as indicated below and should be forwarded for review.

ACJA § 6-105(D) (2) (b) requires that "the chief probation officer (CPO), with the approval of the presiding judge, shall establish organizational and operational procedures for the deputy adult probation officers of the county as provided in ARS § 12-254(A) (1), and ensure that policies and procedures for the organization and operation of the probation department shall be consistent with federal and state Statutes, existing supreme court administrative orders and the ACJA."

POLICY # and Title	Recommended Revisions
III-35: Foreign Born Identity Legal Status Determination Probation Responsibilities	It is recommended the policy include an appendix or referral to the Foreign Born Protocols in accordance with Administrative Order 2009-13, 2007-71 and 2006-47. The policy should address each section heading of the protocols. The department's practices must align with the protocols, and the department must address their practice in the policy.
III-13: GPS Monitoring of DCAC Probationers	Numerous sections of the policy list the authority as "Administrative Orders" when it should reflect Administrative Directives. The policy is also missing Level 3 notification for GPS monitoring as this is the latest legislation for DCAC offenders. GPS policy should be in accordance with Administrative Directive 2011-41 http://www.azcourts.gov/Portals/22/admindir/pdfs/2011pdf/2011-41.pdf
III-20 Courtesy Cases	The policy is outdated and does not reflect the current code. For example the definition section does not have the same definitions that are in ACJA §6-211 and the policy mirrors the definitions code. Also, sections I A. 1-3, B. 1-3 language should mirror code and section I F. is outdated. Section II B. 2 should reflect the language in code section ACJA § 6-211 H.
III-21: Interstate Compact Services	The authority section refers to ARS 12-254, and 13-901 incorrectly and should be 31-467. Remove compliance and family definition and replace

Yavapai County Adult Probation Department
Operational Review Final Report - September 2016

POLICY # and Title	Recommended Revisions
	with ICAOS definitions and remove Verifiable offer of employment definition. Section I B-G is inaccurate - refer to ICAOS Rules 3.101 and 3-101-1. In section II B. 1 replace the word “agreement” with “offender application.” Section II B. 4 note in that section the reporting instructions should only be issued if approved. Section III A. 2: add victim compensation fees (VCAF). Section III B. 2 should be 45 calendar days, not 45 business days. Section III B. 3 add ACJA and APETS database.
Yavapai County Intercounty/Interstate Transfer Screening and Checklists for Standard Probation	The checklist should be two separate checklists. One for intercounty transfers and one for interstate transfers.
I-14: Appropriate Level of Effort to Manage	<p>It is suggested that the title of the policy be changed to Use of Force to match code.</p> <p>In section I delete the word “necessary.”</p> <p>Delete Section I D 1 c. unless it is the department’s practice to always call paramedics after an OC exposure or clarify to call paramedics only if necessary.</p> <p>In section I E the current language “Impact and weapons of opportunity when the risk of injury to an officer or other person is so significant that the use of lesser options would be ineffective or unsafe” needs to be changed to reflect code language “Impact weapon when the officer reasonably believes subject’s actions are likely to cause physical harm to the officer or a third party.”</p> <p>In section I F the current language, “Lethal force when apparent that another person’s actions could cause serious injury or death to self or a third person by use of: 1. Firearm; 2. Impact weapons or weapons of opportunity when used to strike vital areas such as the head or neck” needs to reflect current code language of: “Deadly weapons include department issued firearms for officers authorized in accordance with the ACJA § 6-113. The use of a deadly weapon requires that the officer reasonably believes the subject’s actions were likely to have caused serious physical injury or death to the officer or a third party. The problem with the original language would be the word “apparent.”</p> <p>In section II “Use of Force at the most minimum level”... Force is only required to be reasonable by case law and ARS. There is no requirement for it to be “most minimum level.”</p> <p>In section V. 4, delete a-f and revise V 4 to say something to the effect of... “Determine if the employee's actions were reasonable.”</p> <p>Section III is not clear, the entire policy should be revised to reflect code more closely.</p>
I-22: Firearms Standards	Section V. 3. A. ii requires the officer to provide medical aid, which may not be prudent and is contrary to V.3.a.i that states the officer should ensure safety of self and others.
V-2 Quality Assistance and Quality Assistance Forms	Should be revised as described in each section of the report below.
III-24: Probation Violation	The policy needs to include requirement for a Criminal Restitution Order filed within 90 days of probationer absconding. The policy does not reflect victim notification requirements in accordance with ARS §13-

Yavapai County Adult Probation Department
Operational Review Final Report - September 2016

POLICY # and Title	Recommended Revisions
	4415, 13-4427. Also, victims must be notified of “Any hearing on a proposed modification of the terms of probation or intensive probation.” (ACJA 6-103(E) (1) (a) (2)). It is recommended the policy include a requirement to enter data into the Case Maintenance/Victim Maintenance screen in APETS.
III-26: Discharge and Termination of Probation	Section II. Should indicate that opted-in victim is to be notified of an early termination hearing prior to the hearing date, per ARS § 13-4427.
<i>The policies below were not included with the department’s submission of policies in February 2016</i>	
Case Management: Drug Treatment Education Fund (DTEF)	Create a policy that incorporates the requirements of DTEF cases that is consistent with ACJA § 6-205 (G) (1). Be sure to incorporate the departments newly accepted DTEF Ability to Pay Form into the department’s policy. Create a policy and/or forward existing policy for review.
Case Management: Victim notification	Create a policy that incorporates the requirements to include but not limited to the following: That opt in victims be notified of early termination and termination of probation hearings prior to the hearing date, per ARS § 13-4427. The policy should reflect victim notification requirements in accordance with ARS §13-4415. Victims must be notified of “Any hearing on a proposed modification of the terms of probation or intensive probation.” (ACJA 6-103(E)(1)(a)(2)). Include the authority ACJA § 6-103 D (1)(2) regarding confidentiality of victim information and officer training regarding victim sensitivity. Also “Any conduct by the defendant that raises a substantial concern for the victim's safety.” (ACJA 6-103(E)(1)(b)(5)). It is recommended the policy include a requirement to enter data into the Case Maintenance/Victim Maintenance screen in APETS. Create a policy and/or forward existing policy for review.
Minimum Accounting Standards (MAS)	Please forward the department’s policy for review in accordance with but not limited to the following: ACJA § 1-401.

Response from the department: The department reported the following: “The department will investigate the policies in question as outlined on pages 17-19 and report modifications back to the AOC within the next 10 months. All future policy revisions will be written to direct attention to applicable codes rather than repeating code language. This will help allow our policies to remain up to date with code changes. Upon notification of Law and Code changes the Policy Coordinator will review our policy to attempt to make appropriate necessary changes.”

Required action: Please revise and/or create the policies noted above and forward for review. Also forward the policies noted above that were not previously reviewed. Although it is not required, it is recommended the policies include a requirement to enter data into the applicable screens in APETS so that APETS can be used as a data collecting resource and quality assurance tool.

Employment Qualification Review

The department does an excellent job in all seven areas reviewed.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Pursuant to ACJA § 6-106(H)(3)(b-c) “the employment qualification review for all applicants shall include ... verification of current and past employment which includes documented good faith efforts to contact employers to obtain information or recommendations which may be relevant to the individual’s qualification for employment and checking professional and personal references provided.”

Pursuant to ACJA § 6-106(F)(3)(a) “all ... probation officers shall ... possess ... at a minimum a bachelor’s degree with a preference in the behavioral sciences or a related field from an accredited college or university.”

Pursuant to ACJA § 6-106(H)(1 through 8) “...Application and Background Investigation Requirements... The character and fitness investigation for all applicants shall include, but is not limited to: a. Fingerprinting and a criminal history records check through the Arizona Criminal Justice Information System (ACJIS) and the national criminal information database. b. A driving records check through the Motor Vehicle Division (MVD) of the Arizona Department of Transportation. c. A driving records check through the MVD of any other previous state of residence...”

Twelve of the 17 probation/surveillance officers hired on or after March 1, 2013, were selected for review. Five of the files reviewed were officers hired prior to March 2013 and were reviewed for annual requirements.

The results of the 17 files reviewed are listed in the table below:

Employment Qualification Review			
Requirement	# of Files in Compliance	% Compliant	N/A
Application for Employment Completed	12	100%	5
Verification of Bachelor’s Degree (High School Diploma/GED-for SO)	12	100%	5
National and State Criminal History Check before hire	12	100%	5
Arizona & Other States of Residence MVD Check	12	100%	5
Employer Reference Checks	12	100%	5
Professional Reference Checks	12	100%	5
Personal Reference Checks	12	100%	5

Recommendation: Although a response is not required, it is recommended that the department also implement a process to ensure that local criminal history checks such as Public Access and City Court searches be utilized as part of the department’s background investigation requirements for pre-hire since at times ACJIS may not have the most recent information in the system.

Response from the department: The Training Coordinator and the Chief’s Administrative Assistant will ensure compliance in this area. The new hire checklist has been modified requiring calendaring the one year anniversary of the employee. The administrative assistant will then notify the Chief to request certification. This modification is complete.

Required Action: No required action.

Officer Certification/COJET/Training Requirements

The department does an excellent job in five of the six areas reviewed.

Pursuant to ACJA § 6-106 (J)(1)(b) the department is required to “. . . have all probation department employees certify that they have received training and shall adhere to the Code of Conduct for Judicial Employees, Code of Ethics for Arizona Probation Personnel and Arizona Code of Judicial Administration provisions concerning probation.”

Pursuant to ACJA § 6-104 (F)(1) adopted via AO 2006-99, “All officers shall attend and successfully complete the Probation Officer Certification Academy within one year of the date of hire.”

Pursuant to ACJA § 6-104 (G)(1)(a) “The chief probation officer shall notify the AOC when an officer has completed one year of active service; and (b), “Provide the AOC with a recommendation concerning the certification of the officer.”

Pursuant to ACJA § 1-302 (K)(4), “Training program requirements for intensive probation supervision (IPS) officers. All adult and juvenile probation and surveillance officers assigned to the IPS program shall successfully complete the Institute for Intensive Probation Supervision training within twelve months of assignment.”

Pursuant to ACJA § 6-107 (E) “The chief probation officer or director of juvenile court services shall ensure, that within 30 days of appointment, an officer receives a minimum of eight hours of officer safety training. This training shall use: a. Curriculum approved by COPE; and b. Instructors trained by the AOC Education Services Division in this subject matter...”

Per requirements when departments transitioned to Evidenced Based Practices for ACJA, OST/FROST refresher training should be done every three years.

The results for the 17 files reviewed are listed below.

Officer Certification/OST FROST Refresher Training					
Requirement	# of Files in Compliance	% Compliant	No	NA	Total
Certification officer received training on & will adhere to Code of Conduct for Judicial Employees, etc.	13	100%	0	4	17
Completion of PO Certification Academy within one year of the date of hire/date in position	7	100%	0	10	17
Certification requested by CPO within one year of hire date/date in position	0	0%	6	11	17
Completion of IPS Academy within one year of hire date	2	100%	0	15	17
OST/FROST refresher training every 3 years	8	100%	0	9	17

EBP effective dates: October 28, 2009 (SPS) and December 17, 2010 (IPS)

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Required action: The department may want to consider establishing a process for biannual reviews of personnel records to ensure documentation of certification requested by CPO within one year of an officer's hire date. Describe the department's quality assurance process to ensure compliance.

Response from the department: "The Training Coordinator and the Chief's Administrative Assistant will ensure compliance in this area. The new hire checklist has been modified requiring calendaring the one year anniversary of the employee. The administrative assistant will then notify the Chief to request certification. This modification is complete."

Required Action: No required action.

Continuing Employment Requirements

The department does an excellent job ensuring continuing employment requirements are met by each officer.

Pursuant to ACJA § 6-106 (J)(1)(f), the department is required to conduct criminal history and MVD records checks of all probation employees every two years, at minimum.

Biannual Criminal History & MVD Check				
Requirement	# of Files in Compliance	# of Files Not In Compliance	%Compliant	NA
Criminal History Check Every 2 Years	8	0	100%	9
MVD Check Every 2 Years	8	0	100%	9

As of January 1, 2013, COJET general requirements, per [ACJA §1-302](#) were reinstated, with the expiration of Administrative Order 2011-91. This change reestablished the minimum 16 hour judicial education training requirement including ethics, for all full-time judges and all court personnel, and the Core Curriculum requirement for non-judicial officer employees.

In addition, a temporary modification of the distribution of credit hours granted for non-facilitated learning per Administrative Order 2013-08 was ordered to take effect January 1 – December 31, 2013.

The operational review team received a copy of the department's 2015 Annual Report from the AOC Education Services Division. The department was 100 percent compliant in continuing education requirements for the applicable staff. It was noted that five employees were exempt from completing defensive tactics due to medical reasons.

Pursuant to ACJA § 6-107(E) "...shall ensure, that within 30 days of appointment, an officer receives a minimum of eight hours of officer safety training."

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Personnel files were reviewed for 17 officers. Below are the findings of the review of personnel files:

EIGHT HOURS OF OFFICER SAFETY TRAINING AND CONTINUING EDUCATION					
Requirement	# of Files in Compliance	% Compliant	NO	NA	Total
8 hours of officer safety training within 30 days of hire	12	100%	0	5	17
Annual Continuing Education Requirement	17	100%	0	0	17

Required action: No action required.

Firearms Standards

The department does a good job in most areas and should improve in the areas marked 95% or less.

Of the 17 officer files reviewed, ten of the officers are armed. Note that two of the ten armed officer's files were only reviewed for annual training. Below are the findings of the review of personnel files:

Pursuant to ACJA § 6-113

Firearms Standards	Yes	No	TOTAL	NA	% Compliance
1. ACJA § 6-113(E)(1) ; Officer written request to carry to CPO (y/n)	8	0	8	9	100%
2. ACJA § 6-113(E)(4) ; CPO acts on officer initial request to carry within 30 days (y/n)	0	8	8	9	0%
3. ACJA § 6-113(E)(g)(1-7) ; Officer signs form attesting to 7 Items (y/n)	7	1	8	9	88%
4. ACJA § 6-113(E)(2)(a) ; Officer completed psychological testing (y/n)	8	0	8	9	100%
5. ACJA § 6-113(E)(2)(b) ; Criminal history records check completed (y/n)	8	0	8	9	100%
6. ACJA § 6-113(E)(2)(c) ; Officer completed defensive tactics training (y/n)	8	0	8	9	100%
7. ACJA § 6-113(E)(2)(d) ; Officer signed form indicating medically/physically able to perform armed officer duties (y/n)	7	1	8	9	88%
8. ACJA § 6-113(E)(2)(e) ; Officer completed Firearms Training Academy (y/n)	8	0	8	9	100%

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Firearms Standards	Yes	No	TOTAL	NA	% Compliance
9. ACJA § 6-113(E)(2)(f) ; Officer completed competency test & training course on ACJA 6-112 & 113 & legal issues relating to firearms (y/n)	8	0	8	9	100%
10. ACJA § 6-113(G)(3) ; CPO approves/disapproves request to carry within 30 days after officer completes all requirements (y/n)	8	0	8	9	100%
11. ACJA § 6-113(H)(1) ; Officer signed form indicating officer understands terms & conditions in code and any department policy regarding use of firearms (y/n)	8	0	8	9	100%
12. ACJA § 6-113(G)(4)(5) ; For denial, temporary suspension or revocation to carry, CPO must provide written reasons, place in personnel file & copy officer & officer's supervisor (y/n)	0	0	0	17	NA
13. ACJA § 6-113(H)(3) ; Completed annual re-qualification & participated in all required practices sessions (y/n)	7	0	7	10	100%

Response from the department: “The Chief has acted upon the request to carry within 30 days; however, we acknowledge our processes and forms did not reflect this. Our forms have been modified to reflect the Chief’s approval or denial, and the process modified to have the Chief’s signature completed within 30 days. The Training Coordinator and the Chief’s Administrative Assistant will ensure compliance, utilizing both the new form and the checklist. See attached revised forms: Firearms Request to Carry and Firearms Authorization Checklist.”

Required action: The revised *Request for Authorization to Carry a Firearm* and the already-implemented *Firearms Authorization Checklist* includes space to document all of the required firearms standards noted above and if used prior to authorizing personnel to carrying a weapon will ensure compliance. No further action required.

Pursuant to ACJA § 1-302(K)(6) “... every chief probation officer (CPO) ... shall complete ... at least one out-of-state or in-state program, within each three year time period, conducted by an established, nationally recognized training organization ...”

The CPO attended a national training event in 2014 and 2015.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Required action: No action required.

Minimum Accounting Standards (MAS)

The department is compliant with all of the MAS requirements.

Pursuant to ACJA § 1-401(E)(1) “... each court and court department that handles money shall complete the Annual MAS Compliance Checklist ... by January 31 of each calendar year ... send ... to the AOC by March 1 of each calendar year.”

The operational review team obtained a copy of the department’s most recent (Reporting Year: 2015) MAS Compliance Checklist which was completed by the department on time but was received by the AOC a few days late. The department submitted the triennial audit report to AOC Court Services Division. The department requested, submitted and AOC approved Minimum Accounting Standard Waiver that is effective through 2018.

Pursuant to ACJA § 1-401(E)(4) “the court shall post their financial policies in a location within the court’s main lobby ... shall include statements regarding the methods of payment that the court shall accept ... that a receipt shall be issued for every payment made in person to the court ... that the receipt issued by the court is proof of payment ... and include the court’s dishonored payment policy.”

The signage was present in each of the probation offices where monies are accepted (Prescott, Dewey and Cottonwood). Handwritten receipts are provided when a payment is received.

Pursuant to ACJA § 1-401(F)(2) “Retain, count, and handle all monies in a secure location that is not accessible to the public and is only accessible to authorized personal until monies are deposited with the bank or local treasurer.”

Pursuant to ACJA § 1-401(F)(10) “Prohibit the use of signature stamps when signing financial documents such as checks. Courts may use a check signing machine to imprint authorized signatures on checks.”

Pursuant to ACJA § 1-401(F)(12) “Store monies overnight in a locked, immovable and fireproof safe or vault with restricted access.”

All money orders and checks are kept in a locked bag in an immovable locked vault, not accessible to the public and only accessible to authorized personnel until deposited. Money orders and checks are deposited daily if total is over \$300.00 by authorized personnel otherwise it is deposited weekly, and SPS money orders are taken to the Clerk of the Superior Court on a daily and/or weekly basis. The department does not accept cash payments.

Required action: No action required.

Financial and Statistical Reports

The department is compliant with the mid-year, closing and monthly budget reports.

Pursuant to ACJA § 6-201.01 (F)(12-13) “ ... each participating court shall submit to the AOC, by January 31 of each year, a mid-year financial and program activity report related to the court’s plan through December 31 ...”

According to the AOC APSD budget specialist, mid-year and closing reports were received from the department on time and are accurate. Monthly budget reports are also received in proper format within specified time frames.

Pursuant to ACJA § 6-201.01 (F)(16) and 6-202.01 (F)(14) “ ... each ... probation department providing standard (and intensive) probation services shall maintain and provide to the AOC data and statistics as may be required by the Supreme Court to administer standard and intensive probation services.”

According to the AOC APSD data specialist, annual hand count reports and performance measures were submitted by the department within the required time frame. Additionally, the current person charged with data quality has done an excellent job of running all the appropriate reports to ensure the accuracy of the data and creating awareness of the data being reported.

Required action: No action required.

Pre-sentence Report (PSR)

The department reports that most of the PSRs (99 percent) were delivered to the sentencing judge at least two days before the date set for sentencing. However, there is a discrepancy between department reported PSR’s and APETS reported PSR’s.

Pursuant to Arizona Rules of Court 26.4(B) “...the pre-sentence report shall be delivered to the sentencing judge at least two days before the date set for sentencing.”

For the fiscal year 2015 (July 1, 2014 to June 30, 2015), the department reported approximately 352 PSRs were prepared, however, per APETS, 309 PSRs were prepared.

The department indicated in the Self-Assessment Questionnaire (SAQ) that most of the reports 350 of the 352 (99 percent) reports were submitted to the judge within two-business days of sentencing.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Response from the department: The department reported “Presentence writers have been reminded about proper entry into APETS. The APETS discrepancy is due to the inadvertent inclusion of some combination disposition presentence reports.”

Required action: No action required.

Fleet Management

The department is in compliance with fleet management rules.

Pursuant to ACJA § 6-111 (E)(1) and to the Arizona Department of Administration Fleet Management Rule R2-15-202(B)(3) “An operator shall use a Fleet Management vehicle only for state government activities as prescribed under A.R.S. § 38-538.02. Prohibited uses include the following: Domicile-to-duty transportation of a state employee, unless specifically authorized by the employee’s agency director and personal convenience, or transportation of family members or friends, or any person not essential to accomplishing the purpose for which the vehicle is dispatched.”

According to the AOC APSD Fleet Coordinator, the department is in full compliance with fleet management requirements. The department consistently submits their reports on time.

Required action: No action required.

COMMUNITY PROTECTION

The probation department has a responsibility to enhance public safety through careful supervision and monitoring of individuals receiving a suspended sentence. The review team assessed the department’s compliance with these criteria in the following areas:

- Minimum contact standards for standard supervision cases
- Minimum contact standards for intensive supervision cases
- Minimum contact standards for sex offender cases
- Management of absconder cases
- Victim notification requirements

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

AOC policy requires officers to enter probationer contacts/case notes into the APETS within 72 hours. During the calendar year for contacts (January 1, 2015, to December 31, 2015) 77,173 contacts (88 percent) of 87,511 contacts were entered on time.

Standard Probation Supervision (SPS) Contacts

The department does a great job in the area of SPS supervision contacts: Minimum: 90 percent average compliance, Medium: 93 percent average compliance. The department needs to improve contacts for maximum supervision caseloads 40 percent average compliance.

Twenty-nine standard probation cases were reviewed. The number of cases in each supervision level during the three month review period (December 2015 to February 2016) is below:

Supervision Level	December 2015	January 2016	February 2016
Minimum	3	3	4
Medium	17	21	23
Maximum	2	1	2
TOTAL¹	22	25	29

¹Review of contact for some case files was not applicable because probationers' start dates were the following month and/or probationer was on IPS/Jail/DOC for that review period.

No credit was given for a collateral contact if the Contacts/Case Notes screen in APETS did not contain meaningful dialogue with the person.

Pursuant to ACJA § 6-201.01(K)(8)(a) "...The low risk probation supervision level shall include: A minimum of one visual contact as an initial interview to provide instruction on the conditions of probation and behavioral expectations. The probation officer shall determine supervision strategies that are ..."

Required SPS Minimum Level Supervision Contacts			
Requirement Met	December 2015	January 2016	February 2016
Yes	2	3	4
No	1	0	0
Total	3	3	4
% in Compliance	67%	100%	100%

Pursuant to ACJA § 6-201.01(K)(6) "... The medium risk probation supervision level shall include a monthly minimum of one of the following: Visual contact with the probationer. Visual contacts shall be varied, scheduled and unscheduled. Contact with collateral sources who have meaningful knowledge of the probationer ..."

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

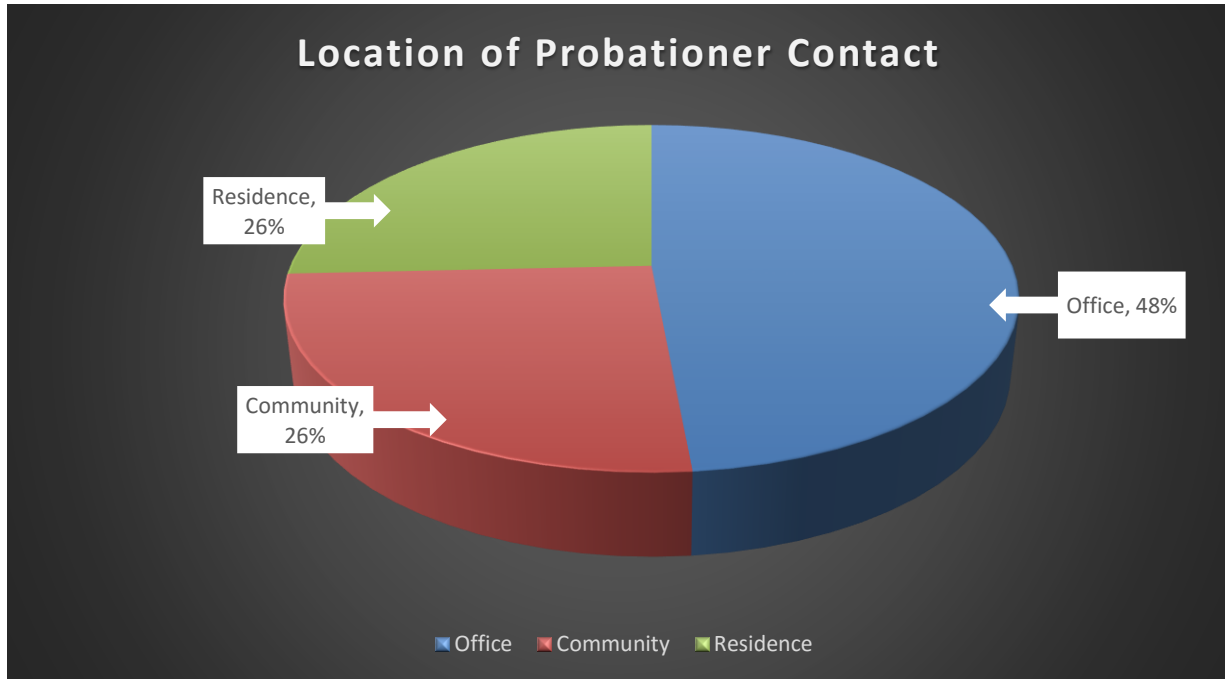
Required SPS Medium Level Supervision Contacts			
Requirement Met	December 2015	January 2016	February 2016
Yes	16	20	21
No	1	1	2
Total	17	21	23
% in Compliance	94%	95%	91%

Pursuant to ACJA § 6-201.01(K)(4)(a, b) “... The high risk probation supervision level shall include a monthly minimum of two of the following: Visual contact with the probationer. Visual contacts shall be varied, scheduled and unscheduled. Contact with collateral sources who have meaningful knowledge of the probationer ...”

Required SPS Maximum Level Supervision Contacts			
Requirement Met	December 2015	January 2016	February 2016
Yes	0	1	1
No	2	0	1
Total	2	1	2
% in Compliance	0%	100%	50%

APETS revealed the overall average for achieving maximum statutory contact requirements was 40 percent during the three month review period.

Of the 136 probationer contacts made during the three-month review period, 35 (26 percent) were made at probationers' residences, 66 (49 percent) were made in the probation office, and 35 (26 percent) were made in the community.



Recommendations: Although minimum residential contacts are not prescribed in the ACJA, the department should consider setting minimum residential and community contacts for officers.

Response from the department: The department reported the following as their Quality Assistance Process and will be referred to as their Comprehensive QA process in the remainder of this report: “The department has in place a fairly comprehensive Quality Assistance (QA) program, which evaluates a wide variety of caseload types. As a result of this Op review, the department will engage in modifying the existing QA program to further enhance our compliance in various areas. Please refer to the attached QA revision plan. We intend to have QA revised within the next 1.5 years, with priority given to law and code compliance.

Within the next 1.5 years, the department will re-vamp its QA process in the following manner:

- Add questions to existing forms to ensure compliance areas are checked.
- Improve Officer feedback by providing summary QA reports to officers and supervisors
- Modify frequency of certain types of QA assessments
- Research the possibility of creating a scoring system for QA
- Provide training to all applicable staff on QA elements and requirements, including refresher training schedule.

Areas the department will seek to improve compliance through QA are:

- Maximum SPS contacts
- Sex offender requirements
- Minimum caseload supervision
- APETS data entry
- Collections

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

- Required Community Restitution
- Case plan timeliness and integrity
- IPS requirements
- Indirect services requirements”

Required Action: Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, SPS contact is an area of concern that needs to be addressed within the next 90 days. The department needs to describe the administrative oversight to ensure that officers are complying with the statutory and code requirements for SPS maximum level probationers and to ensure contact/case notes are entered into APETS within 72 hours. This could be accomplished during supervisory caseload reviews and/or unit meetings/trainings. The department should develop a quality assurance tool and conduct quarterly audits to ensure compliance and develop a process to address and remedy delinquencies.

Intensive Probation Supervision (IPS) Contacts

The department needs to improve with probationer and employer contacts.

Pursuant to ACJA § 6-202.01 (O) “...Contact Level 2 (CL2) ... shall have a minimum of two visual contacts each week ... with at least one occurring at the intensive probationer’s residence ... Contact Level 3 (CL3) ... shall have a minimum of one visual contact each week ... with at least one occurring at the intensive probationer’s residence every other week ... Contact Level 4 (CL4) ... shall have a minimum of one visual contact every two weeks occurring at the intensive probationer’s residence ... Contact Level 5 (CL5) is reserved for intensive probationers participating in residential treatment ... a minimum of one visual contact every 30 days ...”

The department has six one-person waived IPS teams. For offender and employer contact compliance review, 22 intensive probation cases were reviewed.

A review of the Contacts/Case Notes screen in APETS revealed the overall average for achieving IPS statutory weekly contact requirements was 85 percent during at the 12-week period from November 29, 2015, to February 20, 2016.

In accordance with ACJA 6-202.01, the following represents IPS Probationer Contacts by the *one-person IPS team* during the review period:

IPS CONTACTS SUMMARY – November 29, 2015 to February 20, 2016												
<i>1 Person IPS Team</i>												
Requirement Met	WEEK											
	1	2	3	4	5	6	7	8	9	10	11	12
Yes	16	16	18	16	15	15	16	16	20	19	17	18
No	2	2	1	4	5	5	4	4	1	2	4	3
Total	18	18	19	20	20	20	20	20	21	21	21	21

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

NA ¹	3	3	2	1	1	1	1	1	0	0	0	0
Total	21	21	21	21	21	21	21	21	21	21	21	21
% in Compliance	89%	89%	95%	80%	75%	75%	80%	80%	95%	90%	81%	86%
Average % in Compliance	85%	¹ NA refers to intensive probationers in jail, DOC, residential treatment, or recently transitioned to standard supervision, or start dates were the following month/week.										

Pursuant to ACJA § 6-202.01 (N) (3)(a), (4)(a), (5)(a), (6)(a): “... visual contacts shall be varied, scheduled and unscheduled, and include days, nights, weekends and holidays ...”

During the 12-week review period, a total of 392 probationer face-to-face contacts (office, field, and residence) were made.

- 46 of the 216 residence and field contacts (21 percent) were accomplished on a Saturday or Sunday,
- 35 of the 216 residence and field contacts (16 percent) occurred between 6 p.m. and 6 a.m.
- The majority of the 6 p.m. to 6 a.m. contacts were performed between 6 p.m. and 10 p.m. There were only a few late night/early morning contacts.

Pursuant to ACJA § 6-202.01 (O) “...Contact Level 2 (CL2) ... within 10 days of placement on intensive probation or date of hire, the intensive probation officer shall notify the intensive probationer’s employer... the intensive probation officer shall have face to face, telephonic or written contact with the intensive probationer’s employer every two week... Contact Level 3 (CL3) ... within 10 days of placement on intensive probation or date of hire, the intensive probation officer shall notify the intensive probationer’s employer... the intensive probation officer shall have face to face, telephonic or written contact with the intensive probationer’s employer every two week... Contact Level 4 (CL4) ... within 10 days of placement on intensive probation or date of hire, the intensive probation officer shall notify the intensive probationer’s employer... the intensive probation officer shall have face to face, telephonic or written contact with the intensive probationer’s employer every four weeks...”

In accordance with ACJA 6-202.01 the following represents Contact with Employers by *one-person IPS team* during the review period:

Contact With Employers by IPS team– November 29, 2015 to February 20, 2016												
<i>1 Person IPS Team</i>												
Requirement Met	WEEK											
	1	2	3	4	5	6	7	8	9	10	11	12
Yes	5	7	8	6	6	10	11	10	12	10	9	8
No	6	5	6	8	8	5	4	5	3	5	6	7
N/A¹	11	9	7	7	7	6	6	6	6	6	6	6
Total	21	21	21	21	21	21	21	21	21	21	21	21

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

% in Compliance	45%	58%	57%	43%	43%	67%	73%	67%	80%	67%	60%	53%
Average % in Compliance	60%	¹ NA refers to intensive probationers in jail, DOC, residential treatment, or recently transitioned to standard supervision, or start dates were the following month/week.										

Response from the department: The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, IPS contact is an area of concern that needs to be addressed within the next 90 days. The department needs to describe the administrative oversight to ensure that officers are complying with the statutory and code requirements for IPS. This could be accomplished during supervisory caseload reviews and/or unit meetings/trainings. The department should develop a quality assurance tool and conduct quarterly audits to ensure compliance and develop a process to address and remedy delinquencies.

Sex Offender Cases Contacts

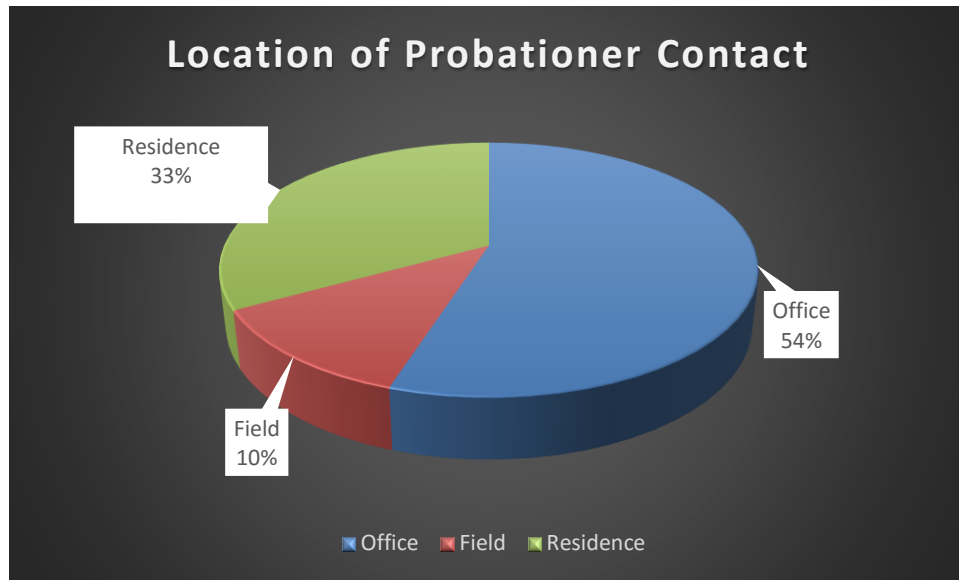
The department does an excellent job in the area of SPS supervision contacts for sex offender cases.

Twenty sex offender (all SPS) cases were reviewed during the three-month review period (December 2015 February 2016):

Required Supervision Contacts for Sex Offender Cases			
Requirement Met	December 2015	January 2016	February 2016
Yes	18	19	19
No	2	1	1
Total	20	20	20
NA	0	0	0
% in Compliance	90%	95%	95%

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Of the 102 probationer contacts made during the three-month review period, 33 (33 percent) were made at the probationers' residences, 55 (54 percent) were made in the probation office and 12 (10 percent) were made in the community.



Recommendations: Although minimum residential contacts are not prescribed in the ACJA, the department should consider setting minimum residential and community contacts for officers.

Absconder/Warrant Cases

Improvement is needed in all areas reviewed.

[Pursuant to ACJA § 6-105.01 \(E\)\(2\)\(g\)\(1\)](#) “Adult probation officers shall make documented efforts to locate a probationer they believe to have defaulted.”

[Pursuant to ACJA § 6-105.01 \(E\)\(2\)\(g\)\(3\)](#) “If the absconder is on standard probation and not located within 90 days, the supervising probation officer shall file a petition to revoke (PTR) probation and request that the court issue a warrant...”

[Pursuant to ACJA § 6-105.01 \(E\)\(2\)\(g\)\(4\)](#) “If the absconder is on intensive supervision and is not located within 72 hours, the intensive probation officer shall file a petition to revoke probation and request that the court issue a warrant...”

ACJA also requires that in standard or intensive supervision a petition to revoke shall be filed sooner based on case specific circumstances.

[Pursuant to ACJA § 6-105.01 \(E\)\(2\)\(g\)\(6\)](#) “When a petition to revoke is filed prior to the expiration of 90 days, the probation officer shall seek a criminal restitution order upon the expiration of 90 days, pursuant to [A.R.S. § 13-805\(C\)\(1\)\(2\)](#), for a probationer who is an absconder as defined in [A.R.S. § 13-105\(1\)](#).”

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Pursuant to ACJA § 6-105.01 (E)(2)(g)(5) “The probation department shall make documented efforts to locate the absconder until the absconder is apprehended.”

Pursuant to ACJA § 6-201.01(J)(10)(a through g) “Probation officers, surveillance officers and absconder or warrant officers shall follow the minimum requirements for probationers on warrant status for less than 90 days....”

Documentation in APETS/files was reviewed for 43 absconder cases (six IPS and 37 SPS). Note that at the time the sample of cases to be reviewed was generated, the cases were considered absconders/warrants. Some probationers may have been apprehended at the time the on-site review occurred but the case was still reviewed as an absconder/warrant case. The review findings are listed in the tables below:

Activity to Locate <u>Before</u> Warrant Issued	Yes	No	% in Compliance	N/A	Total Cases
IPS Warrant Requested within 72 Hours	2	3	40%	38	43
SPS Warrant Requested within 90 days	28	10	74%	5	43
Residence Checked	28	13	68%	2	43
Collaterals Checked	29	10	74%	4	43
Employment Checked	5	2	71%	36	43
Certified Letter Sent	14	25	36%	4	43
Activity to Locate <u>After</u> Warrant Issued	Yes	No	% in Compliance	N/A	Total Cases
After warrant issued, a criminal history check done	16	25	39%	2	43
Residence Checked	7	28	20%	8	43
Employment Checked	2	5	29%	36	43
Opted-In Victim Notified	4	3	57%	36	43
Annual Records Check	8	1	89%	34	43

Continued – See Next Table

Requirement Met	If Warrant After 7/20/2011, CRO Filed Within 90 Days	Whereabouts Determined
Yes	24	10
No	15	33
Total	39	43
% in Compliance	62%	23%
N/A	4	0

Response from the department: The department indicated the following: “The department’s warrant/absconder specialist will meet with Supervisors and in unit meetings to further train staff on requirements of warrants within the next year. The Absconder checklist will be revised and forwarded by December 2016. The absconder checklist will be utilized by the warrant/absconder specialist to ensure compliance.”

Required action: Forward a copy of the revised checklist and ensure it includes the following: The Criminal Restitution Order filed within 90 days of the warrant being issued, *not* after the warrant filed,

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

include space to document whether or not the opted-in victim was notified of warrant, add space to document that a criminal history check was completed after the warrant was filed, and annual criminal history checks are completed.

Sex Offender Cases

The department does a good job in one area and needs to improve in the remaining sex offender-specific requirements.

Forty sex offender case files were reviewed. Information in APETS, as well as documentation in case files, was used to determine compliance in the following areas.

Pursuant to A.R.S. § 13-3821 “A person ... who is required to register by the convicting jurisdiction, within ten days after the conviction or within ten days after entering and remaining in any county of this state, shall register with the sheriff of that county...”

Fifteen of the 26 applicable sex offender case files reviewed documented sex offender registration within ten days of sentencing (58 percent compliance). This requirement was not applicable for 14 cases (either the probationer was not required to register or there was no proof in the file of sex offender registration).

Pursuant to A.R.S. § 13-3822 “Within seventy-two hours, excluding weekends and legal holidays, after moving from the person's residence within a county or after changing the person's name, a person who is required to register ... shall inform the sheriff in person and in writing of the person's new residence, address or new name...”

Forty sex offender files were reviewed. Fourteen (67 percent compliance) of the 21 applicable files included documentation of registration within the required timeframe. This requirement was not applicable for 19 cases as those cases were not statutorily required to register or they did not change their place of residence.

The relevant code in effect during the review period, **ACJA § 6-201.01(K)**, requires a varied residential contact for Standard Probation Supervision (SPS) frequency based on supervision level, but none are specifically directed at residence or employment verification upon placement on probation or release from custody. However, verifying a probationer’s residence and workplace within 30 days of beginning supervision/release (current best practice) will provide the officer with insight into a probationer’s needs and overall situation.

There is no Statute, code, or departmental policy regarding IPS residence verification. However, best practice indicates this should be completed within 72 hours of sentencing/release from custody.

Thirty-eight of the 40 (95 percent compliance) applicable files included documentation that address verification was completed within 30 days (SPS) and/or 72 hours (IPS). None of the files reviewed required a name change.

Yavapai County Adult Probation Department
Operational Review Final Report - September 2016

Per Yavapai III-14 Sex Offender Supervision Policy...Any residence a probationer wishes to move to shall be approved by the Sex Offender Team within five working days of the request, with approval prior to the move...

Forty sex offender files were reviewed. Ten (56 percent compliance) of the 18 applicable files included documentation that address was approved within five days with approval prior to the move as dictated by the department's policy. This was not applicable to 22 of the sex offender cases.

Pursuant to A.R.S. § 13-3821(J) "...and the person shall obtain a new non-operating identification license or a driver license from the motor vehicle division ... the license is valid for one year from the date of issuance, and the person shall submit to the department of transportation proof of the person's address and place of residence. The motor vehicle division shall annually update the person's address and photograph and shall make a copy of the photograph available to the department of public safety or to any law enforcement agency..."

Forty sex offender files were reviewed. Fifteen (45 percent compliance) of the 33 applicable files included documentation to verify the annual renewal of driver license/non-operation identification card. This requirement did not apply to seven files.

Pursuant to A.R.S. § 13-610 "...within thirty days after a person is placed on probation ... (or) within thirty days after the arrival of a person who is accepted under the interstate compact for the supervision ... the county probation department shall secure a sufficient sample of blood or other bodily substances for deoxyribonucleic acid (DNA) testing and extraction from the person if the person was convicted of ... an offense listed in this section. The county probation department shall transmit the sample to the department of public safety..."

In 26 of the 40 applicable cases reviewed, a DNA sample was documented/verified within **30 days** of sentencing (65 percent compliance).

A review of the 40 sex offender case files/documentation in APETS revealed:

- Nine of the 34 applicable probationers (27 percent) underwent a psychosexual evaluation. This did not apply to six cases.
- Twenty-six of the 31 applicable case files documented an annual polygraph evaluation (84 percent). This did not apply to nine cases.
- Thirty-seven of the 39 applicable probationers (95 percent) were referred to a contracted treatment provider for sex offender counseling, this was not applicable for one case.

Pursuant to A.R.S. § 13-3825 " ... Within seventy-two hours after a person who was convicted is released from confinement or who was accepted under the interstate compact for the supervision of ... probationers and has arrived in this state, the agency that had custody or responsibility for supervision of the person who was convicted of committing an offense for which the person was required or ordered by the court to register ... or that has accepted supervision under the interstate compact for the supervision of ... probationers shall provide ... information to the department of public safety ...

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

The table below lists the results of the review of 40 Sex Offender cases:

Summary of Sex Offender Requirements	Yes	No	% Compliant	N/A
Registration within 10 days	15	11	58%	14
New residence verified w/in 30 days (SPS)/72 hours (IPS)	38	2	95%	0
<i>Per Yavapai III-14 Sex Offender Supervision Policy-Any Residence a probationer wishes to move to shall be approved by the Sex Offender Team within 5 Working days of the request, with approval PRIOR to the move.</i>	10	8	56%	22
Address/name change notification change within 72 hours	14	7	67%	19
Yearly identification	15	18	45%	7
DNA within 30 days	26	14	65%	0
Psychosexual evaluations	9	25	26%	6
Annual polygraphs	26	5	84%	9
Referred to treatment	37	2	95%	1

Response from the department during the pre-draft phase: The department stated “The communication between the Sheriff’s office sex offender registration staff and the sex offender officers has been improved. Limited resources at the Sheriff’s office have contributed to some offenders not registering pursuant to mandated time frames. The department refers Sex Offenders for registration in a timely manner, but actual registration may not occur in a timely fashion.

Sex Offender Officers require prior approval of residence moves, and will attempt to ensure proper documentation of new residence details and approvals.

Psychosexual evaluations cannot be done annually in many cases due to limited funding. Many times, psychosexual evaluations are done during the pre-sentence phase. Additionally, since funding is limited, some Sex Offenders attend individual Sex Offender treatment until a psychosexual is complete.

Quality Assistance is done through the department QA process, which now includes a Sex Offender Supplement. The sex offender unit will attempt to ensure the department QA form reflects the elements mentioned in this report.

The department’s Quality Assistance process uses checklists and periodic random samplings of cases. Please refer to Section V of the department manual for further information regarding Quality Assistance. See attached: QA forms.”

Required action in the Draft Report: The department’s V-2 Quality Assistance (QA) policy refers to a QA matrix in which reviews are based on the probation officer’s seniority. Case file reviews will take place between once every month and every 12 months, depending on probation officer’s performance. There are several types of reviews including officer observation and case file reviews. Some of the forms for the case

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

file reviews do not include all of the sex offender requirements and specific timelines. For example, the Sex Offender Supplement QA form asks if the registration information is in the file but does not ask if the registration was completed within 10 days, which is a requirement. Therefore, the QA tools should be revised to include specific sex offender and code timeline standards. The QA policy should also be revised to include monthly, and/or quarterly reviews since some sex offender requirements are to be completed within 72 hours and case file reviews conducted every six or 12 months is not conducive to statutory or code requirement compliance. The department needs to ensure all requirements for sex offenders are also in the Sex Offender Tracking screen in APETS. Once APETS data is entered for each probationer, the data can be used as a supervisory tool for quality assurance.

The department reported the following: “The department refers Sex Offenders for registration in a timely manner, but actual registration may not occur in a timely fashion.” Clarify why this occurs.

Describe the QA process on how the department “will attempt to ensure proper documentation of new residence details and approvals.”

Response from the department: The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, Sex offender compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

Global Positioning System (GPS)

The department is 100 percent compliant in five of the seven applicable areas reviewed.

GPS is addressed at [A.R.S. § 13-902\(G\)](#) and [AD 2011-41](#).

As of February 2016, the department reported they have 10 probationers on passive GPS and use BI, Incorporated, for GPS services.

The table below lists the results of the review of ten GPS cases:

Summary of GPS Requirements	Yes	No	% in Compliance	NA
GPS attribute marked in APETS	10	0	100%	0
Probationer activated on initial report	9	1	90%	0
GPS rules signed by probationer	9	1	90%	0
For documented violations, PO initiate immediate response	9	0	100%	1
Was response appropriate	9	0	100%	1

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

PO respond to alerts within 24 hours	9	0	100%	1
Responses entered into APETS within 72 hours	9	0	100%	1
If absconder, PTR with 72 hours	0	0	NA	10

Required action: No action required.

Minimum Assessed Risk Supervision

The department does a great job in four areas but needs to improve in the remaining areas of the minimum assessed risk supervision cases.

Thirty MARS cases were reviewed. Evidence of an initial face-to-face-interview was present in 25 of the 30 (83 percent) cases.

Per Yavapai County Policy III-17 Minimum Assessed Risk Supervision "...Minimum of one visual contact as an initial interview required to provide instruction on the Conditions of Probation and behavioral expectations"

Per Yavapai County Policy III-17 Minimum Assessed Risk Supervision "Consideration for early termination for eligible probationers meeting behavioral goals and in compliance with Conditions of Probation"

Per Yavapai County Policy IV-I Community Restitution "Officers shall direct the probationer to perform 20 hours per month for standard probation, or make a case note entry in the statewide database explaining the reason for performing less than 20."

Pursuant to ACJA § 6-201.01(J)(5)(a)(12) probation officers shall "Conduct documented case file reviews for probationers assessed as low risk every year. Case file reviews shall include, but are not limited to, case notes, collateral information and investigation of any arrest notification..."

Pursuant to ACJA § 6-201.01(J)(5)(a)(10) probation officers shall "Complete a case plan if a probationer assessed as low risk has criminogenic risks and needs that require intervention."

Pursuant to ACJA § 6-201.01(K)(8)(I) probation officers shall "Consideration for early termination for eligible probationers' meeting behavioral goals and in compliance with court-ordered conditions of probation. The probation officer shall recommend that outstanding financial obligations be reduced to a criminal restitution order. Probationers with outstanding restitution shall not be considered for early termination."

The table below lists the results of the review of 30 MARS cases:

MARS Cases	Yes	No	% Compliant	N/A
Minimum of one visual contact as an initial interview	25	5	83%	0
Annual case file review conducted	3	5	38%	22
Results of the annual review documented in APETS	3	5	38%	22

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Case considered for early termination when appropriate if meeting goals	5	4	56%	21
Signed Review and Acknowledgment	27	0	100%	3
OST/FROST agree w/Supervision Level	30	0	100%	0
If recent minimum supervision, was case plan needed	12	7	NA	11
If case plan needed, was case plan completed	1	11	8%	18
Where needed was there a written directive for treatment	13	1	93%	16
Is defendant currently in treatment and/or regularly drug/alcohol tested	12	18	40%	0
Was there an opted in victim	3	3	NA	24
Was opted-in victim notified of any petitions to the court, if applicable	0	1	0%	29
<i>Per Yavapai County Policy IV-I Community Restitution (CR)-Did officers direct probationers to perform 20 CR hours per month for SPS or make a case note entry in APETS explaining the reason for performing less than 20 hours</i>	7	7	50%	16
If CR hours delinquent during review period (any one of the 3 months qualifies as delinquent for the period), did PO address with probationer	1	8	11%	21
Restitution ordered	9	16	NA	5
If restitution ordered is it in arrears 2 or more months	4	5	NA	26
If restitution ordered and delinquent, was opted-in victim notified	0	4	0%	26
If restitution ordered and delinquent, was court notified	1	3	25%	26
Is PSF delinquent	15	11	58%	2
Has PO addressed financial delinquencies	0	17	0%	13
Was DNA taken or verified within 30 days of sentencing/release/acceptance	19	7	73%	4
DNA screen completed in APETS	27	0	100%	3

Response from the department during the pre-draft phase: The department reported the following: “In January of 2016, the department began the development of the MARS caseload. The Operational Review and an internal review has revealed areas which need modification and/or improvement. In the future, any probationer who needs drug testing or treatment will not be included in this caseload. Also, probationers scoring above 60% in any category on the OST/FROST will not be included in this case load.

Policy will be updated to reflect necessary modifications. Additional training and a corrected checklist will be utilized to improve compliance.”

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Required action in the Draft Report: As noted above, 60 percent of the MARS files reviewed include probationers that are either in treatment or are being drug/alcohol tested on a regular/random basis and/or have high criminogenic needs. Please note, low risk minimum supervision probationers who have criminogenic needs or interventions (such as a probationer that is still attending counseling, a probationer that is being regularly drug/alcohol tested and/or a probationer who is in need of additional treatment) must have a case plan developed and should not be on a low risk minimum supervision caseload. Describe the department's quality assurance process to ensure that probationers who have criminogenic needs or interventions are not placed on MARS and how each low risk supervision and MARS requirement is met. Please forward a copy of the "corrected checklist" that will be utilized to improve compliance, and the updated MARS caseload policy.

Response from the department: The department has reported the following: "The department policy is being modified and should be approved by December of 2016. Compliance with requirement will be ensured through QA." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, MARS compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

Signed Review/Acknowledgement of Terms and Conditions Form

The department does a great job ensuring IPS and SPS probationers sign a review and acknowledgement of the conditions of probation, with a 98 and 90 percent compliance rate.

A signed Review and Acknowledgement was found in 70 (90 percent) of 78 applicable SPS files and 48 (98 percent) of the 49 applicable IPS files.

Summary of Review and Acknowledgement forms				
Type of Probation	Yes	No	Total	% in Compliance
SPS	70	8	78	90%
IPS	48	1	49	98%

Required action: No action required.

DNA Collection

The department needs to improve efforts in collecting DNA within the required time frame and modify their department policy to reflect their practice or change their practice to reflect their policy.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Pursuant to A.R.S. §13-610(C), (D) and (G through O), “...A person who is charged with a felony ... submit a sufficient sample of buccal cells or other bodily substances for deoxyribonucleic acid (DNA) testing and extraction. The arresting authority . . . The county probation department . . . shall transmit the sample to the department of public safety...”

Pursuant to Yavapai County Policy III-3 DNA Requirements and Collection “...D. The supervising probation officer is required to check that the DNA sample has been recorded in the DPS database within 60 days of mailing the sample to DPS. If the sample is not in the DPS database within 60 days of mailing, the supervising probation officer shall check the database on a monthly basis thereafter for six months. If after six months the sample is still not in the database, the supervising probation officer shall resubmit a second DNA sample and resume the verification process.”

During the preparation for the onsite review, it was determined the department was not adhering to their DNA policy noted above. The review focused on the ARS §13-610 for DNA and the findings are noted below.

Seventy-eight SPS files were reviewed and 49 IPS case files were reviewed.

SPS DNA Collection

SPS DNA Collection/Verification within 30 days	
Yes	44
No	27
Total	71
% in Compliance	62%
NA¹	7

¹misdemeanor dispositions, another agency/county responsible for DNA collection/verification or DNA would have been verified in an earlier operational review

IPS DNA Collection

IPS DNA Collection/Verification within 30 days	
Yes	27
No	20
Total	47
% in Compliance	58%
NA¹	2

¹misdemeanor dispositions, another agency/county responsible for DNA collection/verification or DNA would have been verified in an earlier operational review

Required action in the Draft Report: The department should develop a procedure to ensure DNA is taken or verified within 30 days of the probation start date for SPS and IPS cases. Describe the department’s quality assurance process to ensure DNA is collected as required by statute.

Response from the department: The department reported the following: “The policy regarding DNA collection has been modified and approved. See attached. Compliance will be assured in the QA process.” The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: The modified DNA policy includes all of the DNA requirements, it does not include a quality assurance process to ensure DNA is collected/verified as required by statute. Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, DNA compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

VICTIMS’ RIGHTS

SPS Victim Contacts

The department needs to improve efforts in notifying victims during pre-sentence.

Pursuant to A.R.S. §13-4415 (A)(1-3) “ On request of a victim who has provided an address or other contact information, the court shall notify the victim of any of the following: . . . probation revocation disposition proceeding or any proceeding in which the court is asked to terminate the probation . . . Any hearing on a proposed modification . . . The arrest of a person who is on supervised probation and who is arrested pursuant to a warrant issued for a probation violation.”

Pursuant to A.R.S. §13-4415 (B) (1-5) “On request of a victim who has provided a current address or other current contact information, the probation department shall notify the victim of the following: Any proposed modification to any term of probation if the modification affects restitution or incarceration status or the defendant's contact with or the safety of the victim . . . victim's right to be heard at a hearing that is set to consider any modification to be made to any term of probation . . . Any violation of any term of probation that results in the filing with the court of a petition to revoke . . . That a petition to revoke probation alleging that the defendant absconded from probation . . . Any conduct by the defendant that raises a substantial concern for the victim's safety.”

Pursuant to ACJA § 6-103(E) (4) adult probation departments shall require staff to “...utilize all available means to contact victims ... to ascertain the economic, physical and psychological impact that the criminal offense has had on the victim ... take into consideration the impact of the criminal offense on the victim, the victim’s thoughts concerning sentencing alternatives ... notify the victim of the date, time and place of ... proceedings and the victim’s right to be present ...”

In 78 standard cases reviewed, documentation of pre-sentence contact with the victim was found in 21 (84 percent) of 25 applicable cases. Per APETS data and case file information, four of the 20 applicable cases, the victim(s) opted-in. None of the cases had situations that would have required opted-in victims be given notice of changes.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

SPS - Victim Contact			
Requirement Met	Pre-sentence Contact	Victim Opt-In	Notice of Changes Given
Yes	21	4	0
No	4	16	0
Total	25	20	0
% in Compliance	84%	NA	NA
NA	53	58	78

Required action in the Draft Report: The department needs to ensure that Victim Screen in APETS and the case files include documentation of presentence contact. Refresher training and supervisory case file reviews will assist in compliance. Describe the department's quality assurance process to ensure victim notification.

Response from the department: The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, Victim Notification compliance issues noted in *Required action in the Draft Report* are an area of concern that need to be addressed within the next 90 days.

IPS Victim Contacts

Forty-nine IPS cases were reviewed. There were no victims and no opted-in victims, therefore notice of change in supervision status was not applicable.

IPS - Victim Contact			
Requirement Met	Pre-sentence Contact	Victim Opt-In	Notice of Changes Given
Yes	21	0	0
No	1	0	0
Total	22	0	0
% in Compliance	95%	NA	NA
NA	27	49	49

Required action: No action required.

OFFENDER ACCOUNTABILITY

The enforcement of court-ordered financial obligations such as restitution and probation service fees (PSF) and community restitution orders (CRO) are integral parts of probation supervision, the absence of which undermines probationer accountability and mitigates the sentence imposed. During the operational review, intensive and standard probation cases were reviewed to assess the department's enforcement of financial obligations and CROs.

SPS Financials

The department needs to improve efforts in addressing financial delinquencies, improve court and victim notification.

Pursuant to ACJA § 6-103(E)(4)(I) adult probation departments shall require staff to “notify the court having jurisdiction upon finding that the probationer has become in arrears in an amount totaling two full court ordered monthly payments of restitution ... a copy of the memorandum shall be provided to the victim, if the victim has requested notice of restitution modifications...”

Per Yavapai County Policy III-19 Financial Obligations & Enforcement “When 60 days in arrears: All the aforementioned cognitive tools and techniques. Advise about possible loss of travel and other privileges, like ETC. Increase contact requirements. Have the probationer complete the Payment Ability Evaluation and critically view it to identify disposable income that can be redirected toward Court- Ordered obligations or expenses that might be reduced or eliminated. If the delinquency is restitution, advise the probationer that the judge must be notified with a corrective action plan signed by the probationer and could result in additional sanctions, a Petition to Modify or a Petition to Revoke. Send the probationer Delinquent Notice 2, and a Monthly Arrearage Payment Implementation. Notify the Judge... When 90 days in arrears: Send the probationer Delinquent Notice 3. Advise the defendant that if payment of restitution remains non-compliant, more serious sanctions may occur including, but not limited to, notification to the prosecuting attorney of the failure to pay, a request to the judge for an Order to Show Cause, and in some cases revocation of probation. Advise that if the Court finds the failure to pay to be contempt it could: a. Order the defendant incarcerated in the county jail. b. Revoke the defendant's probation and sentence the defendant to prison pursuant to law. c. Order garnishment of the defendant's assets, earnings or personal property for monies owed to a victim, the court, the clerk of the court or the prosecuting attorney pursuant to any fine, fee, restitution or incarceration costs.”

A summary of offenders' financial status is maintained in each case file.

Restitution was ordered in nine of 78 standard cases reviewed. Information in the case file/financial file/APETS and information from the department revealed:

- Restitution is current in seven of nine cases (78 percent).
- Restitution is not current in two of nine cases (22 percent).

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Standard Restitution Delinquency		
Requirement Met	Court Notified	Victim Notified
Yes	1	0
No	1 ¹	0
Total	2	0
% in Compliance	50%	NA

¹Court notification of delinquent restitution not found in files/no documentation Contacts/Case Notes in APETS.

Pursuant to A.R.S. § 13-901 “...When granting probation to an adult the court, as a condition of probation, shall assess a monthly fee of not less than sixty-five dollars unless, after determining the inability of the probationer to pay the fee, the court assesses a lesser fee...”

Seventy-eight standard files were reviewed regarding whether or not the ordered Probation Service Fees were current. Sixty-nine applicable files had probation service fees ordered by the court and fees were current in 54 percent of the cases.

Standard Probation Service Fees (PSF)	
Requirement Met	PSF Current
Yes	37
No	32
Total	69
% in Compliance	54%
N/A	9

Officers addressed financial delinquencies in 37 (54 percent) of 69 applicable cases.

<i>Yavapai County Policy III-19 Financial Obligations & Enforcement</i>		
Requirement Met	60 Day Requirement	90 Day Requirement
Yes	0	1
No	32	20
NA	46	57
Total	78	78
% in Compliance	0%	5%

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Required action in the Draft Report: The department needs to ensure timely notification to the Court and opted-in victims of probationer arrearages in restitution, as well as to increase efforts regarding enforcement of financial orders. Describe the department's quality assurance process to ensure timely notification to the Court and opted-in victims are met.

Response from the department: The department reported the following: "The policy will be revised to reflect code by December of 2016. Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, financial delinquencies and timely notification to victims and the court compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days. Forward a copy of the revised policy.

IPS Financials

The department needs to improve efforts in addressing financial delinquencies.

Pursuant to ACJA § 6-103(E)(4)(i): adult probation departments shall require staff to "notify the court having jurisdiction upon finding that the probationer has become in arrears in an amount totaling two full court ordered monthly payments of restitution ... a copy of the memorandum shall be provided to the victim, if the victim has requested notice of restitution modifications..."

During the on-site review 49 IPS files were reviewed.

- Restitution was ordered in six cases and was current in 5 (83 percent).
- The court was notified of the delinquency in the only applicable case (100 percent).

IPS Restitution				
Requirement Met	Restitution Ordered	Restitution Current ¹	2 Months In Arrears Court Notified ¹	2 Months In Arrears Victim Notified
Yes	6	5	1	0
No	42	1	0	0
Total	48	6	1	0
% in Compliance	NA	83%	100%	NA
N/A	1	43	48	49

¹Restitution is "delinquent" where payments are in arrears two or more months.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Pursuant to A.R.S. § 13-901 “...When granting probation to an adult the court, as a condition of probation, shall assess a monthly fee of not less than sixty-five dollars unless, after determining the inability of the probationer to pay the fee, the court assesses a lesser fee...”

Forty-nine files were reviewed regarding whether or not the ordered Probation Service Fees were current. Forty-five applicable files had probation service fees ordered by the court and fees were current in 33 percent of the cases.

Intensive Probation Service Fees (PSF)	
Requirement Met	PSF Current
Yes	15
No	30
Total	45
% in Compliance	33%
N/A	4

Officers addressed financial delinquencies in ten (59 percent) of 17 applicable cases.

Required action in the Draft Report: Describe the quality assurance process to ensure the department will increase efforts regarding enforcement of financial orders.

Response from the department: The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, financial delinquencies noted in *Required action in the Draft Report* is an area of concern that need to be addressed within the next 90 days.

IPS Collection of Probationer Wages

Improvement is needed in collecting IPS probationer wages (72 percent compliant).

Pursuant to A.R.S. § 13-918(B) “ ... the person's wages shall be paid directly to an account established by the chief adult probation officer from which the chief adult probation officer shall make payments for restitution, probation fees, fines and other payments. The balance of the monies shall be placed in an account to be used for or paid to the person or his immediate family in a manner and in such amounts as determined by the chief adult probation officer or the court. Any monies remaining in the account at the time the person successfully completes probation shall be paid to the person.”

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

The Chief Probation Officer established an IPS checking account in accordance with statute. IPS probationers submit their wages to the department. The department issues a receipt and, after payment is made, the remaining balance is returned to the defendant that afternoon or the following day.

A summary of offenders' financial status is maintained in each case file.

The review team found evidence of probationer wage submission in 23 of the 32 applicable files.

Paychecks/Wages Submitted by Probationers on IPS					
	Yes	No	Total	% in Compliance	NA
Wages submitted	23	9	32	72%	17

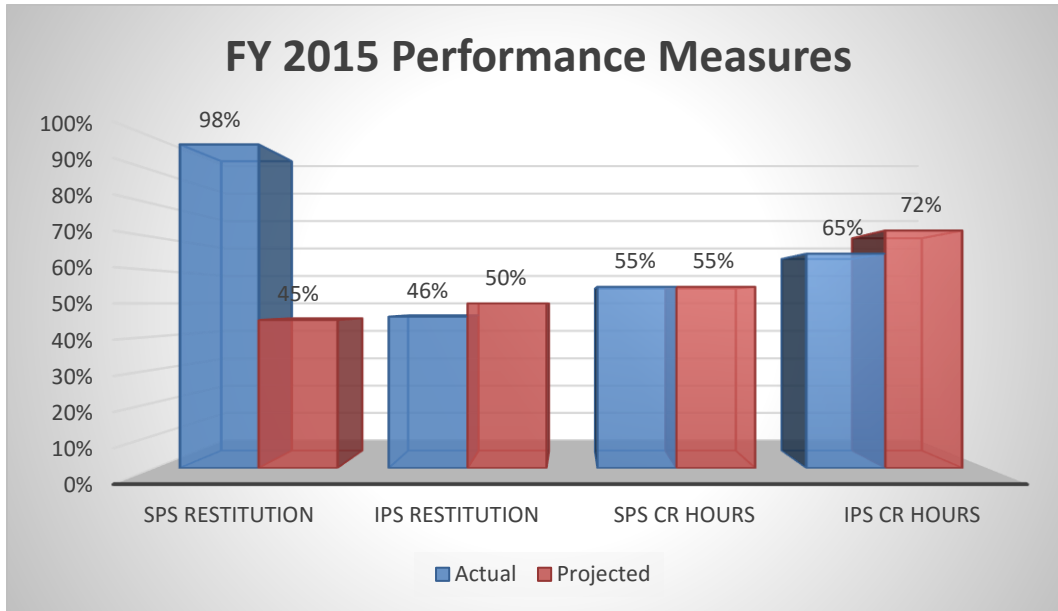
Required action in the Draft Report: Officers should be reminded of the requirement of the collection of IPS probationer wages and documentation of such included in the case file. This might be accomplished during supervisory caseload reviews and/or unit meetings/trainings. Describe the department's quality assurance process to ensure compliance.

Response from the department: The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the absence of the collection of wages in some cases as noted in *Required action in the Draft Report* is an area of concern that need to be addressed within the next 90 days.

Performance Measures Comparison

The department reported on performance measures for restitution and community restitution (CR) hours achieved for FY 2015. The department did not meet performance measures expectations for IPS in FY 2015 but exceeded SPS restitution expectations and met SPS CR hours.



SPS Community Restitution (CR) Hours

Delinquent community restitution hours are not always addressed by the officer and it is not clear how many hours per month are required for some probationers.

ACJA § 6-201.01(K)(5)(c), (7)(c), and (8)(d) require that standard supervision include community restitution monitoring.

Pursuant to ACJA § 6-201.01(J)(1)(h), each probation department shall "...have a process by which accurate and timely records of the completion of community restitution hours are maintained for each probationer. Credit toward court-ordered community restitution requirements are awarded on the basis of actual hours completed unless otherwise authorized by the court ..."

Per Yavapai County Policy IV-I Community Restitution "...Officers shall direct the probationer to perform 20 hours per month for standard probation, or make a case note entry in the statewide database explaining the reason for performing less than 20."

Seventy-eight standard probation files were reviewed. It was difficult to determine how many community restitution hours were required for some of the probationers because the case file, *Contact/Case Notes and CR Screen* in APETS *did not* document the number of hours required each month.

- Thirty-two percent (average) of standard probationers were current on their community restitution hours (as documented in APETS and case files) and 68 percent (average) were not current in the three months reviewed (December 2015, January and February 2016).
- Officers addressed (as documented in the *Contacts/Case Notes* screen in APETS) delinquent hours 30 percent of the time.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

- Per *Yavapai County's Probation Department's policy*, officers are to direct probationers to perform 20 hours of CR hours a month and verification of such was documented 48 percent of the time.

A monthly breakout of CR hours for the review period is in the table below.

SPS Cases with Community Restitution Hours Assigned					
Monthly CR Hours Completed	December 2015	January 2016	February 2016	Officer direct probationer to perform 20hrs of CR a month	Officer Addressed Delinquency
Yes	7	5	8	15	6
No	9	14	19	16	16
Total	16	19	27	31	22
% in Compliance	44%	26%	30%	48%	30%
N/A ¹	62	59	51	47	56

¹CR hours were: not ordered, discretionary, or completed prior to the review period.

Required action in the Draft Report: The department needs to ensure that probationers on SPS are performing the required number of CR hours each month as prescribed by the department's policy. Officers should be addressing CR delinquencies with the probationer and documentation of such should be included in the case notes/case file. Supervisors should emphasize the importance of addressing delinquent community restitution hours during unit meetings/trainings and caseload reviews. Clarify if the department will keep the policy that is a higher standard than code or modify the policy. If the department chooses to keep the *Community Restitution Policy* that requires a higher standard, describe the department's quality assurance process to ensure that code and/or department's policy are met.

Response from the department: The department reported the following: "Policy will be revised by December of 2016 to clarify. Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, community restitution compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

IPS Community Restitution (CR) Hours

Delinquent community restitution hours are not addressed by the officer and probationers are not completing the required number of hours per month (57 percent average compliance).

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Pursuant to A.R.S. § 13-914(E)(6) intensive probation shall be conditioned on the offender “...performing not less than forty hours of community restitution each month. Full-time students may be exempted or required to perform fewer hours of community restitution. For good cause, the court may reduce the number of community restitution hours performed to not less than twenty hours each month.”

Pursuant to ACJA § 6-202.01(D)(1) “... full-time students may be exempted or required to perform fewer hours of community restitution ...”

Forty-nine IPS cases were reviewed regarding CR hours for December 2015, January and February 2016.

- Probationers averaged 57 percent compliance in completion of community restitution hours over the three-month period.
- Officers addressed delinquent hours in 36 percent of applicable situations.

A monthly breakout of CR hour compliance for the review period is in the table below.

IPS Monthly Community Restitution Requirement Met				
Weekly CR Hours Completed	December 2015	January 2016	February 2016	Officer Addressed Delinquency
Yes	23	24	27	9
No	16	19	20	16
Total	39	43	47	25
% in Compliance	59%	56%	58%	36%
N/A ¹	10	6	2	24

¹probationer was in prison, jail, treatment, hospital, severe drug issues, missing, or CR hours were waived

Required action in the Draft Report: The department needs to ensure that probationers on IPS are performing the required number of CR hours each month, officers should be addressing CR delinquencies with the probationer and documentation of such should be included in the case notes/case file. Supervisors should emphasize the requirement of addressing delinquent community restitution hours during unit meetings/trainings and caseload reviews. Describe the department’s quality assurance process to ensure compliance.

Response from the department: The department reported the following: “Please refer to attachment: QA revision plan.” The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, community restitution compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

CASE MANAGEMENT

SPS Cases

SPS Residence and Employment Verification

Residence verification was completed 47 percent of the time, employment verification was completed 32 percent of the time and improvement is needed.

The relevant code in effect during the review period, [ACJA § 6-201.01\(K\)](#), requires a varied residential contact frequency based on supervision level, but none are specifically directed at residence or employment verification upon placement on probation or release from custody. However, verifying a probationer's residence and workplace within 30 days of beginning supervision/release (current best practice) will provide the officer with insight into a probationer's needs and overall situation.

The department is 47 percent compliant regarding residence verification within 30 days and 32 percent compliant regarding employment verification within 30 days.

Not all officers use the *Address/Employment History* screens in APETS to document the date verified. Therefore, the operational review team read through the contact notes for each case to determine compliance.

The following table shows the number of residence and employment verifications conducted for the 78 cases reviewed.

Standard Supervision – Residence & Employment Verification		
Requirement Met	Residence Verification within 30 Days (Initial and Changes)	Initial Employment Verification (within 30 days)
Yes	34	10
No	38	21
Total	72	31
% in Compliance	47%	32%
N/A	6	47

Required action in the Draft Report: The *current best practice* is verifying a probationer's residence and workplace *within 30 days* of beginning supervision/release from custody will provide the officer with insight into a probationer's needs and overall situation. Refresher training and quality assurance reports

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

would assist supervisors and officers in monitoring which addresses and employment records have not had a verification date entered in APETS. Describe the quality assurance process to ensure requirements are met.

Response from the department: The department reported the following: “Please refer to attachment: QA revision plan.” The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, the residence and the employment verification compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

SPS OST/FROST Timeline Compliance

The average compliance for the OST assessment is 92 percent. However, the department needs to improve in the area of timely reassessments (average compliance is 47 percent for the FROST reassessment).

ACJA § 6-201.01(J)(5)(a)(1) requires that an initial assessment be prepared within 30 days of placement on probation or initial release from custody, and a follow-up assessment every 180 days thereafter.

Pursuant to ACJA § 6-105.01(E)(2)(b)(1)(c) adult probation officers shall “utilize the results of the standardized assessment to establish a level of supervision and develop a case plan within one month of a probationer’s placement on probation or initial release from custody as a condition of standard or intensive probation...”

Pursuant to ACJA § 6-105.01(E)(2)(b)(1)(g) adult probation officers shall “administer the standardized reassessment every 180 days ...”

Arizona adopted use of the Offender Screening Tool (OST) and Field Reassessment Screening Tool (FROST) as the initial assessment and reassessment in January 2005. The OST and FROST are vital to determining appropriate interventions and case plan strategies. Administering a FROST every 180 days will ensure that change and progress is being measured.

The review team assessed the department’s compliance with the required completion of an OST within 30 days. The results for the 78 standard case files reviewed are listed in the table below:

SPS Offender Screening Tool (OST) Completed within 30 days	
Yes	67
No	6
Total	73
% in Compliance	92%
N/A	5

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

The review team assessed the department's compliance with the required completion of a FROST every 180 days. Seventy-eight files were reviewed, in which 390 FROST assessments were conducted. The results are listed in the table below:

FROST¹ Completed for Standard Supervision Cases (180 Days)	
Yes	34
No	38
Total	72
% in Compliance	47%
NA	318

¹The FROSTs for the past three years were reviewed.

Required action in the Draft Report: The department's V-2 Quality Assistance (QA) policy refers to the QA matrix which states the reviews are based on the probation officer's seniority. Case file reviews will take place between once every month or every 12 months, depending on probation officer's performance. There are several types of reviews including officer observation and case file reviews. The QA policy should also be revised to include monthly, and/or quarterly reviews since some requirements are to be completed within 30 days and case file reviews conducted every six or 12 months is not conducive to meeting statutory or code requirements. The department needs to ensure all requirements are also in APETS. Once APETS data is entered for each probationer, the data can be used as a supervisory tool for quality assurance. Revise the QA forms and policy and forward for review.

Response from the department: The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the FROST timeline compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

SPS Assessment Score Matching Supervision Level

The department performs well matching the supervision level with the assessment score in minimum level (100 percent) and medium level (95 percent) cases, but needs to improve in the area of maximum level cases (33 percent).

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

The team reviewed supervision levels of the selected cases to determine if they agreed with assessment or reassessment scores. The post-sentence supervision assignment sheet (updated in January 2010) requires assessment scores of 0-5 (males), 0-8 (females) be supervised under standard, minimum supervision requirements. Assessment scores of 6-17 (males), 9-20 (females) will be supervised under the standard, medium supervision requirements, and assessment scores of 18 and higher (males), 21 and higher (females) will be supervised under the standard, maximum supervision requirements.

Each of the 78 standard supervision cases (86 percent average compliance) was compared to the above standards using the current supervision level and OST/FROST. The results are listed in the table below.

Supervision Level Matches Assessment Scores for Standard Supervision			
Requirement Met	Maximum	Medium	Minimum
Yes	4	57	6
No	8	3	0
Total	12	60	6
% in Compliance	33%	95%	100%
NA¹	0	0	0

¹Most recent risk score was not in the case file and/or APETS

Required action in the Draft Report: If the department is unable to have APETS automatically populate this section for officers, describe the department's quality assurance process to ensure supervision level matches assessments scores. During the auto population transition in APETS, the department must implement a quality assurance protocol and checklist to ensure supervision level matches assessments scores for standard supervision. Describe the interim QA process and create a checklist and forward for review.

Response from the department: The department reported the following: "The department will continue to request modification to APETS to allow automatic entry of supervision level based on assessment scores. Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the assessment level matching supervision level compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

SPS Case Plan Timeline Compliance

The department needs to improve in the timely completion of case plans as well as having measurable strategies for the probationer/probation officer.

[ACJA § 6-201.01\(J\)\(5\)\(a\)\(4\)](#) requires that an initial case plan be prepared within 60 days of sentencing or release from custody for all probationers that assess as medium or high risk on the standardized assessment.

[ACJA § 6-201.01\(J\)\(5\)\(a\)\(7-8\)](#) requires “... Administer the standardized reassessment every 180 days from the last assessment for probationers that assess as medium or high risk to measure behavior changes until later assessments indicate a decrease in risk factors which assess the probationer as low risk ...”

[Pursuant to AJCA 6-201.01\(J\)\(1\)\(I\)](#) “... Policies and procedures ... low risk ... The officer shall document in the file that no case plan was completed if no intervention is required.”

An important aspect of case planning is to ensure that probationers are included in the development of goals and strategies. The probationer is a valuable resource in identifying solutions to the needs targeted on the OST or FROST.

The table below shows the department’s compliance regarding an initial case plan within 60 days (69 percent compliance) and follow-up case plans every 180 days (an average of 59 percent compliance). Of the 56 follow-up case plans due, 33 case plans (59 percent) were completed within the required 180-day timeframe.

In addition, case plans were reviewed for EBP concerning whether or not they contained probation officer strategies to monitor compliance and accomplish the objectives (85 percent compliance) and measurable strategies for the probationer and probation officer (77 percent compliance). The minimum level supervision cases were reviewed to determine if a case plan was completed if required (75 percent compliance).

SPS Case Plans¹	Yes	No	Total	% in Compliance	NA
Initial completed within 60 days	47	21	68	69%	10
Follow-up completed every 180 days	33	23	56	59%	334
Probation officer strategies to monitor compliance and accomplish the objectives	55	10	65	85%	13
Measurable strategies for the probationer and probation officer	47	14	61	77%	17
Completed for minimum level supervision cases if required	6	2	8	75%	70

¹The Case Plans for the past three years were reviewed for each applicable case file.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Required action in the Draft Report: The department's V-2 Quality Assistance (QA) policy refers to the QA matrix which states the reviews are based on the probation officer's seniority. Case file reviews will take place between once every month or every 12 months, depending on probation officer's performance. There are several types of reviews including officer observation and case file reviews. Some of the forms for the case file reviews do not include all of the code requirements. For example, Form IA does not include space to document whether the case plan includes probation officer strategies to monitor compliance and accomplish the objectives and whether or not the strategies are measurable. Thereby, the QA tools should be revised to include specific code requirements. The QA policy should also be revised to include monthly, and/or quarterly reviews since some requirements are to be completed within 30 days and case file reviews conducted every six or 12 months is not conducive to meeting statutory or code requirements. The department needs to ensure all requirements are also documented in APETS. Once APETS data is entered for each probationer, the data can be used as a supervisory tool for quality assurance. Revise the QA forms and policy and forward for review.

Response from the department: The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the case plan timeline compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

SPS Highest Criminogenic Need Areas Addressed on Case Plan

The department needs to improve at addressing the probationer's primary needs in the case plan (78 percent compliant).

EBP requires that areas which score higher in the OST/FROST be specifically addressed in the case plan.

Pursuant to ACJA § 6-201.01(J)(5)(a)(3) adult probation officers shall "utilize the results of the standardized assessment to establish a level of supervision and address needs for behavioral change."

Please note: EBP requires that areas in the OST/FROST reflecting higher scores be addressed in the narrative of the case plan. If not addressed, an explanation should be provided in the case plan or Contacts/Case Notes screen in APETS. This was reinforced in AOC case plan training sessions.

The most recent case plan in APETS was reviewed. Of the 78 plans reviewed, 45 have at least one score of 60 percent or above/high score/high need on the current OST/FROST as indicated below.

High Domain Scores on the Current OST/FROST Addressed in the Case Plan – 78 Case Plans Reviewed
--

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Yes	35
No	10
Total	45
% in Compliance	78%
N/A¹	33

¹The 33 cases marked N/A did not have a high score on the OST/FROST.

Required action in the Draft Report: The department's V-2 Quality Assistance (QA) policy refers to the QA matrix which states the reviews are based on the probation officer's seniority. Case file reviews will take place between once every month or every 12 months, depending on probation officer's performance. There are several types of reviews including officer observation and case file reviews. Some of the forms for the case file reviews do not include all of the code requirements. For example, Form IA does not include space to document whether the case plan includes identification and prioritization of criminogenic risk and need domains of the standardized assessment. If high criminogenic needs are not addressed an explanation should be made on the case plan or the Contact/Case Notes screen in APETS. Thereby, the QA tools should be revised to include specific code requirements. The QA policy should also be revised to include monthly, and/or quarterly reviews since some requirements are to be completed within 30, days and case file reviews conducted every six or 12 months is not conducive to meeting statutory or code requirements. The department needs to ensure all requirements are also documented in APETS. Once APETS data is entered for each probationer, the data can be used as a supervisory tool for quality assurance. Revise the QA forms and QA policy and forward for review.

Response from the department: The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the highest criminogenic need areas addressed in the case plan compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

SPS Case Plan Signatures

The department does an excellent job of including all parties involved in the case planning process and documenting their efforts by obtaining the parties' signatures-97 percent compliant.

ACJA § 6-201.01(J)(5)(a)(4) requires the officer to "...ensure the case plan includes signatures of the officer and probationer..."

Case plan signatures indicate the probationer and supervising officer are aware of the goals to be addressed during each contact. Seventy-eight cases were reviewed.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

- In 13 cases this requirement was not applicable for the most recent case plan.
- The officer, probationer, and if applicable, the surveillance officer signed the case plan in 63 (97 percent) of the most recent case plans for the 65 applicable probationer files.
- Two case plans did not have any signatures on the most recent case plan, or the most recent case plan in APETS was not in the case file.

SPS Most Recent Case Plan Contain All Required Signatures	
Yes	63
No	2
Total	65
% in Compliance	97%
N/A	13

Recommendations: No action is required.

IPS Cases

The department does an excellent job regarding photos in case files (92 percent). Improvement could be made verifying residence and employment, collecting probationer schedules and ensuring unemployed offenders are searching for employment and performing community restitution hours six days per week.

Photo in File

Pursuant to ACJA § 6-202.01(P)(2)(c) “the intensive probation team shall maintain verifiable case records ... including...“current photograph of each intensive probationer.”

A photograph was present in 45 (92 percent) of 49 files reviewed.

Verification of Employment

Pursuant to ACJA § 6-202.01(N)(3)(b), (4)(b), (5)(b), (6)(b) minimum supervision requirements “...within 10 days of placement on intensive probation or date of hire, the intensive probation team shall notify the intensive probationer’s employer of the intensive probationer’s probation status and employment verification requirements...”

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Employment was verified timely in 19 (59 percent) of 32 applicable cases. Employment verification was not applicable in 17 (job search, disabled, retired, full-time student, in treatment, health issue, self-employed) of the 49 files reviewed.

Verification of Job Search/Community Restitution Six Days Per Week

Pursuant to A.R.S. § 13-914(E)(1) “Intensive probation shall be conditioned on the offender... Maintaining employment or maintaining full-time student status ... or both, or being involved in supervised job searches and community restitution work at least six days a week ...”

For unemployed probationers, job search/community service verification was completed for two (13 percent) of the 16 applicable cases.

Verification of Residence

There is no statute, code, or departmental policy regarding IPS residence verification. However, best practice indicates this should be completed within 72 hours of sentencing/release from custody. Residence verification within 72 hours was found in 22 (45 percent) of 49 applicable cases.

Intensive Probation Cases				
Requirement Met	Photo in File	Employment Verified w/in 10 Days	If Unemployed, on Job Search & Community Restitution 6 Days Per Week	Residence Verified w/in 72 Hours
Yes	45	19	2	22
No	4	13	14	27
Total	49	32	16	49
% Compliant	92%	59%	13%	45%
N/A	0	17	33	0

Verification of Weekly Schedules

Pursuant to A.R.S. § 13-914(E)(4) Intensive probation shall be conditioned on the offender: “Remaining at the offender's place of residence at all times except to go to work, to attend school, to perform community restitution and as specifically allowed in each instance by the adult probation officer.”

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

For the three-month period, 49 files were reviewed for the presence of probationers' weekly schedules. In order to be counted as completed for the month, schedules for all four weeks must be completed in detail and in the file.

The department was 90 percent (average) compliant regarding the collection of probationer weekly schedules. It should be noted, however, that not all schedules are detailed with times and locations of activities.

IPS Schedules Submitted			
4 Schedules Per Month	December 2015	January 2016	February 2016
Yes	38	40	44
No	4	6	4
N/A ¹	7	3	1
% Compliant	91%	87%	92%
TOTAL	49	49	49

¹NA refers to intensive probationers in jail, DOC, residential treatment, or recently transitioned to standard supervision.

Required action in the Draft Report: The department's V-2 Quality Assistance (QA) policy refers to the QA matrix which states the reviews are based on the probation officer's seniority. Case file reviews will take place between once every month or every 12 months, depending on probation officer's performance. There are several types of reviews including officer observation and case file reviews. Some of the forms for the case file reviews do not include all of the code requirements. For example, Form IA does not include space to document whether if a probationer is unemployed that job search and/or community restitution is completed six days a week. Thereby, the QA tools should be revised to include specific code requirements. The QA policy should also be revised to include monthly, and/or quarterly reviews since some requirements are to be completed within 10 days and case file reviews conducted every six or 12 months is not conducive to meeting statutory or code requirements. The department needs to ensure all requirements are also documented in APETS. Once APETS data is entered for each probationer, the data can be used as a supervisory tool for quality assurance. Revise the QA forms and policy and forward for review.

Response from the department: The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the IPS requirements noted above and in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

IPS OST/FROST and Case Plan Timeline Compliance

The department needs to improve in the following: FROST – 61 percent, Initial Case Plan – 69 percent, Follow-up Case Plans –44 percent.

Arizona adopted the use of the Offender Screening Tool (OST) and Field Reassessment Screening Tool (FROST) as the initial assessment and reassessment in January 2005. The OST and FROST are vital to determining appropriate interventions and case plan strategies. Administering a FROST every 180 days will ensure that change and progress is being measured.

Pursuant to ACJA § 6-105.01(E)(2)(b)(1)(a) adult probationers shall “utilize the results of the standardized assessment to establish a level of supervision and develop a case plan within 30 days of a probationer’s placement on probation or initial release from custody as a condition of standard or intensive probation...”

Pursuant to ACJA § 6-105.01(E)(2)(b)(1)(g) adult probationers shall “administer the standardized reassessment every 180 days...”

Pursuant to ACJA § 6-202.01(L)(2)(c) adult probation officers shall “Utilize the results of the standardized assessment to establish a level of supervision and finalize a case plan within 30 days of a probationer’s placement on intensive probation or initial release from custody.”

ACJA § 6-202.01(L) (2) (h) requires that the (FROST) be administered every 180 days and the results of such shall be considered in developing a new case plan.

A review of 49 intensive level cases revealed the following:

- The department averages a 96 percent success rate completing the OST timely.
- The department averages a 61 percent success rate completing the FROST timely.

Requirement Met	Initial Assessment (OST) w/in 30 days or at PSI	Reassessment (FROST) ¹ Every Six Months
Yes	23	36
No	1	23
Total	24	59
% in Compliance	96%	61%
N/A	25	235

¹The FROSTs for the past three years were reviewed.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

IPS Case Plans¹	Yes	No	Total	% in Compliance	NA
Initial completed within 30 days	18	8	26	69%	23
Follow-up completed every 180 days	48	61	109	44%	118
Probation officer strategies to monitor compliance and accomplish the objectives	38	10	48	79%	1
Measurable strategies for the probationer and probation officer	21	27	48	44%	49

¹The case plans for the past three years were reviewed.

Required action in the Draft Report: The department's V-2 Quality Assistance (QA) policy refers to the QA matrix which states the reviews are based on the probation officer's seniority. Case file reviews will take place between once every month or every 12 months, depending on probation officer's performance. There are several types of reviews including officer observation and case file reviews. Some of the forms for the case file reviews do not include all of the code requirements. For example, Form IA does not include space to document whether the case plan includes probation officer strategies to monitor compliance and accomplish the objectives and whether or not the strategies are measurable. Thereby, the QA tools should be revised to include specific code requirements. The QA policy should also be revised to include monthly, and/or quarterly reviews since some requirements are to be completed within 30, days and case file reviews conducted every six or 12 months is not conducive to meeting statutory or code requirements. The department needs to ensure all requirements are also documented in APETS. Once APETS data is entered for each probationer, the data can be used as a supervisory tool for quality assurance. Revise the QA forms and policy and forward for review.

Response from the department: The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the OST/FROST and case plan timeline compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

IPS Case Plan Signatures

The department does an excellent job of including all parties involved in the case planning process and documenting their efforts by obtaining the parties' signatures (Compliance - 96 percent).

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Pursuant to ACJA § 6-202.01(L) (2) (c) “...The officer shall ensure the case plan includes signatures of the probation officer, surveillance officer and probationer and objective . . .”

Case plan signatures indicate the probationer and supervising team are aware of the goals to be addressed during each contact. All of the department’s IPS teams are one-person team.

A review of 49 case files revealed the most recent case plan contained all necessary signatures (probation officer, surveillance officer and probationer) in 45 (96 percent) of 47 applicable cases.

Required action: No action is required.

IPS Highest Criminogenic Need Areas Addressed on Case Plan

The department needs to improve their efforts of addressing the highest criminogenic need on case plans (Compliance - 79 percent).

Pursuant to ACJA § 6-202.01(M)(2) “Upon the completion of the standardized assessment and initial case plan, the intensive probation team shall utilize the results of the standardized assessment, along with the probationer’s compliance with the conditions of intensive probation and any other relevant factors, and recommend to the court placement on an appropriate supervision level.”

Please note: EBP requires that areas in the OST/FROST reflecting higher scores be addressed in the narrative of the case plan. If not addressed, an explanation should be provided in the case plan or Contacts/Case Notes screen in APETS. This was reinforced in AOC case plan training sessions.

Of the 38 applicable case files reviewed, 30 (79 percent) of the *most current* case plans addressed risk scores of 60 percent or higher *and/or* highest criminogenic area that needed to be addressed.

High Domain Scores on the Current OST/FROST Addressed in the Case Plan – 49 Case Plans Reviewed	
Yes	30
No	8
Total	38
% in Compliance	79%
N/A¹	11

¹The 11 cases marked N/A did not have a score of 60 percent or above on the OST/FROST or did not have “high need.”

Yavapai County Adult Probation Department
Operational Review Final Report - September 2016

Required action in the Draft Report: Although it was not mentioned in the department's response above, it is assumed that the QA policy and QA forms noted in other sections will be implemented. Therefore, the department's V-2 Quality Assistance (QA) policy refers to the QA matrix which states the reviews are based on the probation officer's seniority. Case file reviews will take place between once every month or every 12 months, depending on probation officer's performance. There are several types of reviews including officer observation and case file reviews. Some of the forms for the case file reviews do not include all of the code requirements. For example, Form IA does not include space to document whether the case plan includes identification and prioritization of criminogenic risk and need domains of the standardized assessment. If high criminogenic needs are not addressed an explanation should be made on the case plan or the Contact/Case Notes screen in APETS. Thereby, the QA tools should be revised to include specific code requirements. The QA policy should also be revised to include monthly, and/or quarterly reviews since some requirements are to be completed within 30 days and case file reviews conducted every six or 12 months is not conducive to meeting statutory or code requirements. The department needs to ensure all requirements are also documented in APETS. Once APETS data is entered for each probationer, the data can be used as a supervisory tool for quality assurance. Revise the QA forms and QA policy and forward for review.

Response from the department: The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the highest criminogenic need areas addressed in the case plan compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

Incoming Interstate Cases

The department is 100 percent compliant with one of 11 areas and 97% compliant in four of the 11 areas in the Incoming Interstate Compact (ISC) requirements. The department needs to improve in completing the initial case plan within 60/30 days, completing annual progress reports, completing the interstate tracking screen in APETS, submitting/verifying DNA on time, ensuring VCAF collections are current and ensuring VCAF are on AZ terms.

[ACJA § 6-204.01\(J\)\(5\)\(a\)](#) require that probation officers maintain verifiable case records that include conditions of probation for both Arizona and the sending state.

[A.R.S § 31-467.06](#) requires that persons being supervised in Arizona pay a monthly supervision fee of at least \$65 unless the supervising agency requires payment of a lesser amount after determining the inability of the person to pay the fee. The victim compensation and assistance fund shall receive 70 percent of the fee, and 30 percent shall be deposited into the adult probation services fund.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Interstate Commission for Adult Offender Supervision (ICAOS) Rule 4.106(a) requires a receiving state to provide the sending state a progress report annually, or more frequently, upon the request of the sending state.

Interstate Commission for Adult Offender Supervision (ICAOS) Rule 3.103 (c.) and Rule 3.106 (b)

The department does a good job ensuring: Arizona conditions of probation are signed and in the case file, the OST is administered within 30 days of arrival/acceptance, the sending state's conditions of probation are in the case file, the interstate tracking screen is completed, and the accuracy of ISC Status and tracking screen.

The table below lists the results of the review of 36 incoming ISC cases.

Summary of Incoming Interstate Compact Requirements	Yes	No	Total	% in Compliance	N/A
Were the Arizona Conditions Signed	36	0	36	100%	0
Is VCAF on Arizona Terms & Conditions	25	11	36	69%	0
DNA Collected Within 30 Days	16	10	26	62%	10
OST Within 30 Days of Arrival or Acceptance	30	1	31	97%	5
ICP Within (60 days for SPS and 30 days for IPS) of Arrival or Acceptance	23	8	31	74%	5
Annual Progress Reports Completed	28	5	33	85%	3
Sending State's Terms & Conditions in File	35	1	36	97%	0
Interstate Tracking Screen Completed in APETS	35	1	36	97%	0
ISC Status Accurate in APETS (Accepted, Closed, etc.)	35	1	36	97%	0
Are VCAF Collections Current	9	27	36	25%	0
If VCAF collections are not current, has the PO addressed	11	16	27	41%	9

¹**Date of Acceptance**

Required action in the Draft Report: The department's V-2 Quality Assistance (QA) policy refers to the QA matrix which states the reviews are based on the probation officer's seniority. Case file reviews will take place between once every month or every 12 months, depending on probation officer's performance. There are several types of reviews including officer observation and case file reviews. Some of the forms for the case file reviews do not include all of the code requirements. For example, Form IA does not include space to document any of the requirements for Incoming Interstate Compact requirements. Thereby, the QA tools should be revised to include specific Incoming ISC requirements. The QA policy should also be revised to include monthly, and/or quarterly reviews since some requirements are to be completed within 30, days or less and case file reviews conducted every six or 12 months is not conducive to meeting ICAOS and/or statutory requirements. The department needs to ensure all requirements are also documented in ICOTS and APETS. Once ICOTS/APETS data is entered for each probationer, the data can be used as a supervisory tool for quality assurance. Revise the QA forms and forward for review, In addition staff training and a checklist, could assist in ensuring all requirements are met for Incoming ISC cases.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Response from the department: The department reported the following: “Please refer to attachment: QA revision plan.” The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, the incoming interstate compact compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

Outgoing Interstate Cases

The department is 100 percent compliant in the following areas: ISC status accurate (accepted, closed etc.), ICOTS, APETS match and valid reporting instructions, the PO responds to violation reports within ten business days and is 98 percent compliant in the collection of DNA within the required time-frame.

ACJA § 6-204.01(J)(5)(a) require that probation officers maintain verifiable case records that include conditions of probation for both Arizona and the sending state.

The table below lists the results of the review of 48 outgoing ISC cases.

Summary of Outgoing Interstate Compact Requirements	Yes	No	Total	% in Compliance	N/A
ISC status accurate (accepted, closed, etc.), ICOTS & APETS match	48	0	48	100%	0
Did probationer leave with valid reporting instructions	48	0	48	100%	0
Did the PO respond to violation reports within 10 business days	1	0	1	100%	47
DNA collected or verified within 30 days of sentence/release and prior to departing AZ	47	1	48	98%	0
Was the Victim notified of ISC and any other probation status issues	0	1	1	0%	47

Required action in the Draft Report: Officers should be reminded of the requirement of notifying opted-in victims of probation status, pursuant to ICAOS Rule 3.108. Describe the department’s quality assurance process to ensure compliance.

Response from the department: The department reported the following: “Please refer to attachment: QA revision plan.” The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the outgoing interstate compact compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

For Information purposes only in relation to Court monies owed to Arizona:

Outgoing Interstate Compact	Yes	No	Total	%	N/A
Is money owed to Arizona	45	3	48	94%	0
Are payments current	4	39	43	9%	5

Recommendations: Although the team could not determine whether or not officers are following up with probationers regarding payments, the department may want to establish a review process for probationer payments.

Closed Cases

The department needs to improve in warrants checks before full terminations, early terminations, and earned time credit discharges, ensuring DNA is collected, ensuring court ordered treatment is completed, ensuring opted-in victims are notified of closure, ensuring community restitution is completed as ordered and ensuring the Court issues a Criminal Restitution Order (CRO) for applicable cases.

Pursuant to A.R.S. §13-253 (2) and (7) “Exercise general supervision and observation over persons under suspended sentence, subject to control and direction by the court.” “Bring defaulting probationers into court when in the probation officer's judgment the conduct of the probationer justifies the court to revoke suspension of the sentence.”

Pursuant to A.R.S. §13-4415 (A)(1-3) “ On request of a victim who has provided an address or other contact information, the court shall notify the victim of any of the following: . . . probation revocation disposition proceeding or any proceeding in which the court is asked to terminate the probation . . . Any hearing on a proposed modification . . . The arrest of a person who is on supervised probation and who is arrested pursuant to a warrant issued for a probation violation.”

Pursuant to A.R.S. §13-4415 (B)(1-5) “On request of a victim who has provided a current address or other current contact information, the probation department shall notify the victim of the following: . . . Any proposed modification to any term of probation if the modification affects restitution or incarceration status or the defendant's contact with or the safety of the victim . . . victim's right to be heard at a hearing that is set to consider any modification to be made to any term of probation . . . Any violation of any term of probation that results in the filing with the court of a petition to revoke . . . That a petition to revoke probation alleging that the defendant absconded from probation . . . Any conduct by the defendant that raises a substantial concern for the victim's safety.”

Pursuant to A.R.S. §13-610(C), (D) and (G through O), “...A person who is charged with a felony ... submit a sufficient sample of buccal cells or other bodily substances for deoxyribonucleic acid (DNA) testing and

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

extraction. The arresting authority . . . The county probation department . . . shall transmit the sample to the department of public safety...”

Pursuant to A.R.S. §13-902(C), “...that the defendant make restitution for any economic loss related to the defendant's offense and that condition has not been satisfied, the court at any time before the termination or expiration of probation may extend the period...”

Pursuant to A.R.S. §13-805(A)(1)(2), “...A criminal restitution order in favor of the state for the unpaid balance, if any, of any fines, costs, incarceration costs, fees, surcharges or assessments imposed....”

Pursuant to ACJA §6-201.01(J)(5)(a)(12), “...Probationers that are eligible and in compliance with court-ordered conditions of probation...”

Thirty closed cases were reviewed and the table below lists the nine areas reviewed, along with the percentage of cases in compliance.

Closed Cases	Yes	No	Total	% in Compliance	NA
Warrant Check Before Termination	11	5	16	69%	14
DNA collected/verified within 30 days	18	11	29	62%	1
If ISC Case, Closing Report Sent to Sending State	NA	NA	NA	NA	30
Court Ordered Treatment Completed	10	3	13	77%	17
CR hours Completed by Closure	11	4	15	73%	15
Opted-In Victim Notified of Closure	1	1	2	50%	28
If Restitution Owed at Closure, Extended for Restitution	0	2	2	NA	28
Other financial terms owed at closure	23	7	30	77%	0
CRO Entered for Outstanding Financial Balances	14	6	20	70%	10

Required action in the Draft Report: Criminal history checks prior to termination of probation is part of the Powers and Duties Statutes: ARS §§12-253 (2) and ARS §12-253 (7). Additionally, if the probationer were on the low risk case load Pursuant to ACJA §6-201.01(J)(5)(a)(12) Adult probation officers shall:... (12) Conduct documented case file reviews for probationers assessed as low risk every year. Case file reviews shall include, but are not limited to, case notes, collateral information and investigation of any arrest notification. Actions shall be taken in response to indicators of changes in criminogenic risk and needs or involvement in criminal conduct. Probationers that are eligible and in compliance with court...

Regular supervisory reviews, in addition to a checklist, could assist in ensuring all requirements are met for closed cases. Additionally, staff training should address the need for a warrant check prior to case closure. Describe the department’s quality assurance process to ensure compliance.

Response from the department: The department reported the following: “Please refer to attachment: QA revision plan.” The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department’s systemic approach to their QA process over the next 1.5 years is commendable, the closed cases compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

TREATMENT SERVICES

SPS Treatment Referrals

The department needs to improve in referring applicable probationers for treatment within 60 days (86 percent compliant).

Pursuant to ACJA § 6-201.01(J)(5)(b) adult probation officers “ ... shall provide a written directive to the probationer referring the probationer to an appropriate service provider within sixty days of sentencing, release from custody or identification of the need if a need for treatment or counseling is identified through the use of a statewide standard assessment or is ordered by the court...”

Seventy-eight cases were reviewed. Treatment was not applicable in 14 cases. In the remaining cases treatment directives were completed within 60 days in 64 cases (86 percent).

SPS Treatment Referral	
Requirement Met	Treatment Referral w/in 60 days
Yes	55
No	9
Total	64
% in Compliance	86%
N/A	14

Required action in the Draft Report: Regular supervisory reviews, in addition to a checklist, could assist in ensuring all requirements are met for SPS cases. Additionally, staff training should address the need for a treatment referral within 60 days of sentencing/release from custody. Describe the department’s quality assurance process to ensure compliance.

Response from the department: The department reported the following: “Please refer to attachment: QA revision plan.” The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the SPS treatment referral compliance issues noted in *Required action in the Draft Report* is an area of concern that needs to be addressed within the next 90 days.

IPS Treatment Referrals

The department needs to improve in providing treatment referrals to probationers within 60 days (58 percent).

Pursuant to ACJA § 6-202.01(L)(2)(o) the intensive probation team "... shall provide a written directive to the intensive probationer referring the intensive probationer to an appropriate service provider within 60 days of sentencing, initial release from custody ... or when a need for treatment, education or counseling is identified..."

Forty-nine IPS cases were reviewed. Fifteen of the 26 applicable intensive cases reviewed were referred to treatment within 60 days.

IPS Treatment Referral	
Requirement Met	Treatment Referral w/in 60 days
Yes	15
No	11
Total	26
% in Compliance	58%
N/A	23

Required action in the Draft Report: Regular supervisory reviews, in addition to a checklist, could assist in ensuring all requirements are met for IPS cases. Additionally, staff training should address the need for a treatment referral within 60 days of sentencing/release from custody. Describe the department's quality assurance process to ensure compliance.

Response from the department: The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the IPS treatment referral compliance issues noted in *Required action in the Draft Report* is an area of concern that needs to be addressed within the next 90 days.

Transferred Youth Cases

The department did a good job in two of the seven areas regarding transferred youth cases.

A transferred youth (TY) is an offender who committed an offense while a juvenile and was:

- a. Transferred to the adult court via a transfer hearing or
- b. Charged in the adult court (direct filed) while still a juvenile.

There are no ACJA codes or directives regarding TY. However, the AOC and the county probation departments are working on developing guidelines for supervision of youthful offenders (based on evidence based practices) to assist the counties in addressing the needs of this population.

Statutes relating to TY are listed below:

8-322	Juvenile probation services fund; program and contract requirements
8-327	Transfer hearing
13-501	Persons under eighteen years of age; felony charging; definitions
13-504	Persons under eighteen years of age; juvenile transfer
13-921	Probation for defendants under eighteen years of age; dual adult juvenile probation
13-923	Persons convicted of sexual offenses; annual probation review hearing; report; notification
13-3821	Persons required to register; procedure; identification card; definitions
13-3822	Notice of moving from place of residence or change of name or electronic information; forwarding of information; definitions
8-302	Transfer between juvenile and criminal courts
8-350.01	Youth sex offenders; treatment; definition

Documentation in APETS/files was reviewed for three transferred youth cases (all SPS cases). The review findings are listed in the table below:

Summary of Transferred Youth Requirements	Yes	No	Total	% in Compliance	NA
Attended treatment	2	1	3	67%	0
Completed treatment	2	0	2	100%	1
Is treatment reflective of best practices	2	0	2	100%	1
IPS Level change based on compliance	NA	NA	NA	NA	NA
Probationer has GED/high school diploma	1	2	3	33%	0
Enrolled in GED classes	0	2	2	0%	1
Enrolled in school	0	1	1	0%	2
Employed	1	1	1	50%	1

Required action in the Draft Report: The department's V-2 Quality Assistance (QA) policy refers to the QA matrix which states the reviews are based on the probation officer's seniority. Case file reviews will

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

take place between once every month or every 12 months, depending on probation officer's performance. There are several types of reviews including officer observation and case file reviews. Some of the forms for the case file reviews do not include all of the requirements. For example, Form IA does not include space to document any of the requirements for transferred youth. Thereby, the QA tools should be revised to include specific TY requirements. The QA policy should also be revised to include monthly, and/or quarterly reviews since some requirements are to be completed within 30, days and case file reviews conducted every six or 12 months is not conducive to meeting statutory requirements. The department needs to ensure all requirements are also documented in APETS. Once APETS data is entered for each probationer, the data can be used as a supervisory tool for quality assurance. Revise the QA forms and create a policy and forward for review, In addition staff training and a checklist, could assist in ensuring all requirements are met for TY cases.

Response from the department: The department reported the following: "By December 2016 a checklist will be created to ensure compliance. Department QA process will ensure compliance along with the checklist." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the transferred youth compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days. Forward a copy of the checklist and describe how the checklist will be utilized in the QA process to ensure continued compliance.

SPS Drug Testing

The department does an excellent job in drug testing probationers as described in case plans but needs to improve in using drug testing as a strategy and describing drug testing frequency in case plans for applicable probationers (64 percent).

Pursuant to ACJA § 6-201.01 (J)(1)(f) "...each probation department shall "have a written procedure regarding the alcohol and drug testing of persons on standard probation..." In addition, ACJA § 6-201.01(K)(5)(d) requires alcohol and drug testing as necessary."

In 28 (64 percent) of 44 applicable cases, the frequency of drug tests to be administered to an offender is described in the case plan. In 22 cases of the 24 applicable cases (92 percent), drug tests were administered as described in the case plan. These results are in the table, below.

SPS Drug Testing		
Requirement Met	Drug Testing Frequency Described in Case Plan ¹	Drug Tested as Described in Case Plan
Yes	28	22

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

No	16	2
Total	44	24
% in Compliance	64%	92%
N/A	34	54

¹Case plans were considered as needing to describe drug testing frequency if the drug domain was 67 or 100 percent.

Required action in the Draft Report: Staff training could assist in reminding officers that drug testing can be an important tool during the probationer's recovery or continued sobriety. Additionally, supervisory case file reviews will assist in ensuring officers are documenting the frequency of drug testing in the probationer's case plan. Describe the department's quality assurance process to ensure compliance.

Response from the department: The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the SPS drug testing compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

IPS Drug Testing

The department does an excellent job in drug testing probationers as described in case plans but needs to improve in using drug testing as a strategy and describing drug testing frequency in case plans for applicable probationers (57 percent).

Pursuant to ACJA § 6-202.01 (L)(2)(e) each intensive probation officer shall "Assess each intensive probationer's need for monitoring of alcohol and drug use and determine the frequency of testing. The testing shall be random and occur at intervals documented in the case record."

In 13 (57 percent) of 23 applicable cases, the frequency of drug tests to be administered to an offender is described in the case plan. In 12 cases (92 percent) of the 13 applicable cases, drug tests were administered as described in the case plan. These results are in the table, below.

IPS Drug Testing		
Requirement Met	Drug Testing Frequency Described in Case Plan ¹	Drug Tested as Described in Case Plan
Yes	13	12
No	10	1

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

Total	23	13
% in Compliance	57%	92%
N/A	26	26

¹Case plans were considered as needing to describe drug testing frequency if the drug domain was 67 or 100 percent.

Required action in the Draft Report: Staff training could assist in reminding officers that drug testing can be an important tool during the probationer's recovery or continued sobriety. Additionally, supervisory case file reviews will assist in ensuring officers are documenting the frequency of drug testing in the probationer's case plan. Describe the department's quality assurance process to ensure compliance.

Response from the department: The department reported the following: "Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, the IPS drug testing compliance issues noted in *Required action in the Draft Report* are areas of concern that need to be addressed within the next 90 days.

Drug Treatment and Education Fund (DTEF)

The department does an excellent job of using the client services screen in APETS and having an evaluation completed. The department needs improvement in screening probationers for AHCCCS.

Pursuant to A.R.S. § 13-901.01 "...if a person is convicted of personal possession or use of a controlled substance or drug paraphernalia, as a condition of probation, the court shall require participation in an appropriate drug treatment or education program administered by a qualified agency or organization that provides such programs to persons who abuse controlled substances. Each person who is enrolled in a drug treatment or education program shall be required to pay for participation in the program to the extent of the person's financial ability..."

Pursuant to A.R.S. § 13-901.02 "...The drug treatment and education fund is established... Fifty per cent of the monies deposited in the drug treatment and education fund shall be distributed by the administrative office of the supreme court to the superior court probation departments to cover the costs of placing persons in drug education and treatment programs administered by a qualified agency or organization that provides such programs to persons who abuse controlled substances..."

Pursuant to ACJA § 6-205(G)(1)c "Assessing co-payment utilizing an AOC approved standardized tool for assessing ability to pay; and..."

Pursuant to the Statewide APETS Policy Minimum Use Mandates, "In order to ensure statewide consistency, all client information will be recorded and maintained in the APETS system. In addition, all counties are expected to use and complete all fields in APETS as the information is applicable and becomes available."

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

The following information regarding the department's management of DTEF cases was gathered from the Self-assessment Questionnaire and APETS.

The department reported serving 115 probationers with DTEF funding, of which 80 were considered to be mandatory cases pursuant to A.R.S §§13-901.01 (A)(F).

Thirty cases were reviewed. All 30 cases were funded through DTEF. Eight of the 30 cases were probationers sentenced under A.R.S. § 13-901.01(A) or (F). Of the cases funded with DTEF monies, 77 percent were screened for AHCCCS (23 of the 30 cases). The department does not have an Ability to Pay form that should be used for DTEF clients.

The table below lists the findings for the thirty cases funded with DTEF monies.

Cases Funded by DTEF	Yes	No	N/A	% In Compliance
Screened for AHCCCS ¹	23	7	0	77%
Client Services Screen in APETS Completed	30	0	0	100%
Evaluation completed (instrument approved by AOC)	30	0	0	100%
Ability to pay form completed and in file	0	30	0	0%
AHCCCS Results	Eligible	Ineligible	N/A	DTEF Funded when AHCCCS Eligible
If yes, "eligible" or "ineligible" or "n/a"	1	1	28	1

¹Reference: APSD's Client Services DTEF User Manual Version 2014-01 dated 3/24/2014

Response from the department: The department reported the following: "The proper process is now in place. Please refer to attachment: QA revision plan." The department has instituted a Comprehensive QA process noted in the report that addresses a process over the next 1.5 years with priority given to law and code compliance.

Final Report required action: Although the department's systemic approach to their QA process over the next 1.5 years is commendable, describe the department's quality assurance process to ensure DTEF requirements are met within the next 90 days.

Closing

As a result of preliminary feedback, the department began corrective actions in some areas prior to the publication of the draft report and continued to correct policies and implement some changes prior to the

Yavapai County Adult Probation Department
Operational Review Final Report - September 2016

publication of this report. This confirms the department's dedication to constant improvement in the delivery of probation services to Yavapai County.

However, there appears to be a culture of higher efforts placed on the lower risk offender population rather than the higher risk population. Assessments and case plans for those required should be completed in a timely manner as the higher risk individuals will have increased needs to be addressed. Contact standards per ACJA and statutory requirements for higher risk SAE offenders and IPS probationers need improvements. If offenders are truly higher risk, the closer supervision and balance of intervention strategies are required. If supervision is not reflective of the risk level, the higher risk placement is questionable. Systemic changes, staff training, supervisory reviews, quality assurance processes and administrative oversight will help convey the importance of code and statutory requirements.

The operational review team appreciates the professionalism and cooperation demonstrated by your department throughout the review process. We look forward to continued efforts and response to the Final Report in 90 days.

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

COMPLIANCE SUMMARY COMPARISON		
	2016	2011
ADMINISTRATION AND MANAGEMENT		
Employment Qualification		
Application for Employment Completed	100%	100%
Verification of Bachelor’s Degree	100%	100%
Criminal History Check	100%	90%
Arizona & Other States of Residence MVD Check	100%	87%
Employer Reference Checks	100%	90%
Professional Reference Checks		57%
Personal Reference Checks		72%
Officer Certification/COJET/Training Requirements		
Completion of PO Certification Academy	100%	100%
Certification Requested by CPO within 1 Year of Hire Date	0%	75%
Completion of IPS Academy within 1 Year of Hire Date	100%	100%
OST/FROST Refresher Training Every 3 Years	100%	NA
Annual COJET	100%	100%
8 Hours of Officer Safety Training within 30 Days of Appointment	100%	100%
8 Hours of Defensive Tactics Refresher Training Annually	100%	100%
Firearms Annual Training	100%	100%
CPO Training Every 3 Years	100%	100%
Biannual Criminal History & MVD Check		
Criminal History Check Every 2 Years	100%	100%
MVD Check Every 2 Years	100%	100%
Pre-sentence Reports		
Pre-sentence Reports On Time	99%	100%
COMMUNITY PROTECTION		
SPS Supervision Contacts December 2015, January and February 2016		
Minimum Level	90%	100%
Medium Level	93%	88%
Maximum Level	40%	NA
IPS Supervision Contacts December 2015, January and February 2016		
Contacts with Probationers	85%	73%
Contact with Employers	60%	NA
Sex Offender Requirements		
Registration within 10 Days	58%	70%
Verify residence within 30 days (SPS), 72 hours (IPS)	95%	NA
Address/Name Change Notification Change within 72 hours	67%	100%
Yearly Identification	45%	63%
DNA within 30 Days	65%	100%
Annual Psychosexual Evaluations	26%	90%
Annual Polygraphs	84%	93%
Referred to Treatment	95%	97%
GPS Compliance		

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

COMPLIANCE SUMMARY COMPARISON		
	2016	2011
GPS attribute marked in APETS	100%	100%
Probationer activated on initial report	90%	100%
GPS rules signed by probationer	90%	100%
PO initiate immediate response	100%	100%
Was response appropriate	100%	100%
PO respond to alerts within 24 hours	100%	100%
Responses entered into APETS within 72 hours	100%	100%
If absconder, PTR with 72 hours	NA	NA
Signed Review/Acknowledgement of Terms and Conditions Form		
SPS	90%	89%
IPS	98%	94%
DNA Collection		
SPS	61%	94%
IPS	57%	100%
Activity to Locate Before Warrant Issued		
IPS - Warrant Requested within 72 Hours	40%	NA
SPS - Warrant Requested within 3 Months	74%	78%
Residence Checked	69%	43%
Collaterals Checked	75%	31%
Employment Checked	71%	0%
Certified Letter Sent	36%	31%
Activity to Locate After Warrant Issued		
Residence Checked	20%	0%
Employment Checked	29%	0%
Opted-In Victim Notified	57%	25%
Annual Records Check	89%	100%
If warrant after 7/20/2011, CRO Filed within 90 days	62%	NA
Whereabouts Determined	23%	25%
VICTIMS' RIGHTS		
SPS		
Pre-sentence Contact	84%	83%
Notice of Changes Given	NA	0%
IPS		
Pre-sentence Contact	95%	86%
Notice of Changes Given	NA	100%
OFFENDER ACCOUNTABILITY		
SPS Financials		
Victim Notified if Restitution Two Months in Arrears	NA	NA
Court- Notification if Restitution Two Months in Arrears	50%	NA
Officer Addressed Financial Delinquencies	-	33%
Probation Supervision Fees (PSF) Current	54%	25%
Officers Addressed Financial Delinquencies	38% ¹	36%
¹ (includes PSF and restitution delinquencies)		
IPS Financials		
Court Notified if Restitution Two Months in Arrears	100%	67%

Yavapai County Adult Probation Department
Operational Review Final Report - September 2016

COMPLIANCE SUMMARY COMPARISON		
	2016	2011
Victim Notified if Restitution Two Months in Arrears	NA	NA
Restitution Current	83%	57%
Officer Addressed Financial Delinquencies	-	67%
Probation Supervision Fees (PSF) Current	33%	44%
Collection of IPS Probationer Wages	72%	-
Officers Addressed Financial Delinquencies ¹ (includes PSF and restitution delinquencies)	59% ¹	60%
SPS CR Hours		
Average Completed – 3-month review period	32%	61%
Officers Addressed Delinquent Hours	30%	56%
IPS CR Hours		
Average Completed – 3-month review period	57%	42%
Officers Addressed Delinquent Hours	36%	63%
CASE MANAGEMENT		
SPS Cases		
Residence Verification within 30 days of Sentencing/Release from Custody	47%	54%
Initial Employment Verification	32%	NA
OST Completed within 30 Days	92%	90%
FROST Completed 180 Days	47%	45%
Supervision Level Matches Assessment Scores	86%	94%
Initial Case Plan Completed within 60 Days	69%	78%
Case Plan Completed at 180 Days	59%	38%
PO Strategies for the Probationer and PO	85%	NA
Measurable Strategies for the Probationer and PO	77%	NA
Completed Case Plan for Minimum Supervision Level if Necessary	75%	NA
OST/FROST Highest Criminogenic Need Addressed in Case Plan	78%	NA
Case Plan Signatures	97%	NA
IPS Cases		
Photo in File	92%	100%
Verification of Employment within 10 Days	60%	63%
Unemployed & 6 days/week Job Search & CR	13%	NA
Verification of Residence within 72 Hours	42%	NA
Collection of Weekly Schedules December 2015, January & February 2016	90%	86%
Initial Assessment (OST) within 30 Days or at PSI	96%	96%
Reassessment (FROST) Every 180 Days	61%	44%
Initial Case Plan	69%	87%
Case Plan Every 180 Days	44%	65%
PO Strategies for the Probationer and PO	79%	NA
Measurable Strategies for the Probationer and PO	44%	NA
Case Plan Signatures	96%	97%
OST/FROST Highest Criminogenic Need Addressed on Case Plan	79%	100%

Yavapai County Adult Probation Department
Operational Review Final Report - September 2016

COMPLIANCE SUMMARY COMPARISON		
	2016	2011
Incoming Interstate Cases		
Were the Arizona Conditions Signed	100%	96%
Is VCAF on Arizona Terms & Conditions	69%	0%
DNA Collected Within 30 Days	62%	NA
OST Within 30 Days of Arrival or Acceptance	97%	NA
Initial Case Plan Within 60 days of Arrival or Acceptance	74%	NA
Annual Progress Reports Completed	85%	80%
Sending State's Terms & Conditions in File	97%	54%
Interstate Tracking Screen Completed in APETS	97%	21%
ISC Status Accurate in APETS (Accepted, Closed, etc.)	97%	NA
Are VCAF Collections Current	25%	NA
If VCAF Collections Are Not Current, Has PO Addressed	41%	NA
Outgoing Interstate Cases		
ISC Status Accurate (Accepted, Closed, etc.)	100%	NA
Did probationer leave with valid reporting instructions	100%	NA
Did the PO respond to violation reports within 10 business days	100%	NA
DNA collected prior to departing AZ	98%	NA
Was the Victim notified of ISC and any other probation status issues	0%	NA
Is Money Still Owed to Arizona	94%	NA
Are Payments Current	9%	NA
Closed Cases		
Warrant Check Before Termination	69%	100%
DNA on File	62%	68%
If ISC Case, Closing Report Sent to Sending State	NA	NA
Court Ordered Treatment Completed	77%	86%
CR Completed by Closure	73%	75%
Opted-In Victim Notified of Closure	50%	100%
If Restitution Owed at Closure, Extended for Restitution	NA	NA
Other Financial Terms Owed at Closure	77%	NA
CRO Entered for Outstanding Financial Balances	70%	100%
TREATMENT SERVICES		
SPS Cases		
Treatment Referral within 60 Days	86%	59%
IPS Cases		
Treatment Referral within 60 Days	58%	89%
Transferred Youth Cases		
Attended treatment	67%	NA
Completed treatment	100%	NA
Is treatment reflective of best practices	100%	NA
IPS Level change based on compliance	NA	NA
Probationer has GED/high school diploma	33%	NA
Enrolled in GED classes	0%	NA

**Yavapai County Adult Probation Department
Operational Review Final Report - September 2016**

COMPLIANCE SUMMARY COMPARISON		
	2016	2011
Enrolled in school	0%	NA
Employed	50%	NA
SPS Drug Testing		
Frequency Described in Case Plan	64%	90%
Drug Tested as Described in Case Plan	92%	89%
IPS Drug Testing		
Frequency Described in Case Plan	57%	50%
Drug Tested as Described in Case Plan	92%	80%
DTEF Funded Cases		
Screened for AHCCCS	77%	0%
Client Services Screen in APETS Completed	100%	100%
Evaluation Completed (Instrument Approved by AOC)	100%	NA
Ability to Pay Form Completed and in File	0%	83%